

January 23, 2002

Ron Miller, Esq.  
Director of Trial Court Management  
Division of State Court Administration  
115 West Washington Street, Suite 1080  
Indianapolis, IN 46204

Dear Mr. Miller:

ACS is pleased to submit the enclosed response to the Public Notice of Contracting Opportunities for a Statewide Judicial Courts Case Management System Software System issued by the Division of State Court Administration of the Indiana Supreme Court (the "Division") on December 20, 2001.

ACS understands that the Division requires an integrated, scalable, and flexible case management solution, as well as a provider with large court project experience to ensure a successful implementation. ACS, as a prime contractor/systems integrator, proposes a proven, full-featured case management system integrated with internet based public access, network/connectivity services, data warehousing services, project management, training and support services to assist the Division in the implementation and on-going support of this mission critical system.

ACS has provided two deployment options for this system in order to provide the Division with the ability to ensure that all trial courts can take advantage and support this technology advancement. Courts with limited IT resources can opt for the ACS Application Outsourcing model that eliminates their need to have any IT support staff. Other courts that have their own IT departments will be able to deploy the software locally in our On-Site model. Our approach includes a pilot phase that includes Marion County and two additional courts, with the subsequent ability to rapidly and cost effectively deploy the ACS solution to the remaining trial courts as the Divisions timing needs and funding availability permit.

This project will require a flexible solution that can handle the various needs of a multi-jurisdictional implementation. ACS' rules-based and code driven technology will allow the state to adopt Indiana specific "Best Practices that are common statewide, help clerks manage their caseloads accurately, and efficiently. ACS will employ our sizable resource base as well as work with other desired firms to fully staff a team to work with the Division to deploy the ACS Justice Information System.

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ACS, a \$3 billion, 30,000 employee, Fortune 1000 company, has the long-term stability and deep resources required for a far-reaching, complex project as outlined in the Division's PNCO. Over half of ACS' total business is in the government marketplace and our firm has over 800 courts worldwide. Our court client base includes some of the largest, most complex court environments in the world, including successful statewide projects in Missouri, Rhode Island, Singapore, and Victoria, Australia. ACS has a first-hand understanding of the keys to the successful deployment of larger justice projects.

ACS has a major local presence in Indiana with more than 200 high-tech personnel in Indianapolis and across the state. In addition with over 1500 employees within 3 hours driving distance to Indianapolis, the successful implementation and on-going support of the Indiana statewide courts project is a top priority for the company. ACS looks forward to the opportunity to partner with the Division of State Court Administration on this exciting project. If you have any questions or need additional information, please contact me at (800) 772-0597, x212 or via email at [ed.sweeney@acs-inc.com](mailto:ed.sweeney@acs-inc.com).

Sincerely,

Edward L. Sweeney  
Senior Account Manager



People Making  
Technology Work™

**A Proposal For:**

Division of State Court Administration of  
the Indiana Supreme Court

*Statewide Judicial Case Management Software System*



**Presented By:**

ACS Government Systems

January 23, 2002

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**ACS Justice Solutions**

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# 1 - Executive Summary

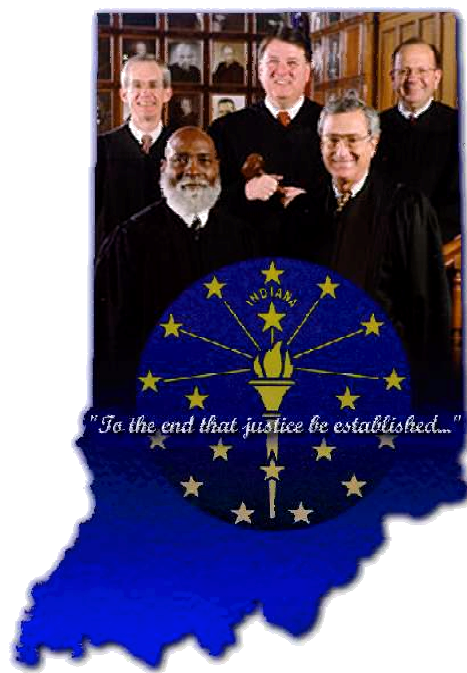
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Six years ago, the Division of State Court Administration of the Supreme Court of Indiana (the "Division") began laying the groundwork for a comprehensive, integrated case management system that will lead Indiana courts into a new era.

Indiana courts have already made great progress toward achieving uniformity statewide, by implementing standard case numbers, names, and formats.

Through the Division's efforts related to the Automated Information Management System Project (AIMS), the Division and the Judicial Technology and Automation Committee have developed a clear understanding of the state's needs and identified three critical objectives for the desired case management system:

- The need for a system that lets clerks manage their caseloads faster and more cost effectively
- The ability to share timely, accurate, and comprehensive information with law enforcement agencies, state policymakers, and the public
- The ability to reduce the cost of trial court operations within the state



In the Division's report for 2000, Chief Justice Shepard discusses the volume of paper that courts process and the great need for them to share information in the interest of justice and public safety. He describes AIMS project and its progress to date, explaining the need for the right tools to allow the courts and other agencies to share this vital information.

"Borrowing a famous phrase, my request is this: 'Give us the tools and we will finish the job,'" he said.

ACS is pleased to offer the tools the Division needs to accomplish your goals. Tools that will allow Indiana trial courts and court clerks to manage their caseloads faster and more effectively, helping to fight the problem of jail overcrowding. Tools that will allow local court data to be centrally collected, coordinated, housed, displayed, and conveyed to the people who need it. This will help the judiciary identify individuals with outstanding warrants and involvement with the courts across jurisdictional lines as well as individuals that owe money across courts.



A leading provider of technology tools and integration services to justice, federal, state, and local governments for many years, ACS has designed an efficient, cost-effective approach that will allow the Division to acquire the tools it needs to accomplish its objectives.

ACS understands the Division's desire to find a partner that can propose a creative and proven solution that will allow the courts to enjoy the benefits of automation and do so in a fiscally responsible manner. ACS has taken this message to heart and is pleased to present this creative and unique solution to the Division.

## **Our Approach**

ACS recognizes that each of the state's approximately 300 courts may have different capabilities and needs. To accomplish the Division's objectives in the most efficient and cost-effective manner, we propose a dual implementation approach to the overall state solution. This approach includes one environment for smaller courts with fewer resources, and another environment for larger courts that want more direct control over their system and the technical resources and infrastructure required to support the system on their own.

For the courts that don't have extensive IT departments and expensive technical infrastructure, ACS will provide an environment that puts the everyday responsibility of IT operations and in our hands so those courts can focus on the delivery of justice. The ACS Application Outsourcing solution can bring advanced technology benefits to courts that would not otherwise have the resources to support IT operations themselves.

For courts that are larger and have advanced IT operations and existing infrastructure investments, ACS is providing the option for a more traditional local on-site implementation solution that provides these courts the opportunity for more direct control in managing their systems.

Both the application outsourcing and the locally implemented on-site solution will have the ability to connect to state agencies such as the Bureau of Motor Vehicles, the Indiana State Police, Department of Correction, the Family and Social Service Administration, various agencies of the Indiana Supreme Court, and other public and private agencies that have a need and a right to share data. Both solutions will have the ability to automatically contribute data to the data warehouse, allowing courts to share quick, easy, and secure access to this information.

## **The ACS Application Outsourcing Model**

Courts with limited IT resources will use this model in order to effectively and efficiently take advantage of the system. They will be connected to a central server, which is hosted and managed by ACS professionals from one of our world-class ACS Data Centers.

Under this model, ACS will be responsible for the management and daily operations of the system, including backups, database administration, disaster recovery, and network connectivity. This model will allow courts to access the ACS Justice Information System remotely across a secure IP network through a standard Web browser. The application will be distributed over the enterprise network, which may include multiple topologies such as Wide Area Network (WAN), Virtual Private Networks (VPN), the state data network, or over the Internet. The end users will access the ACS Justice Information System through a browser such as Microsoft Internet Explorer.



ACS manages a number of data centers across the nation.

## **Benefits of the Approach**

This dual implementation approach will provide several benefits, by allowing the Division to:

- Avoid costly purchases of information technology hardware
- Leverage existing Internet technologies for access
- Provide secure, world-class data center capabilities to the smaller courts
- Provide comprehensive maintenance and application upgrade services
- Allow for the easiest and most rapid deployment to the greatest number of courts



## The ACS On-Site Model

The ACS on-site model assumes a local installation of the ACS Justice Information System into selected locations where the current IT department would be responsible for the management and daily operations of the system. The on-site model would allow these courts to have greater control over their data and operations and allow them to create unique local interfaces with other systems and create custom reports. In addition, the on-site model will be self-sufficient, independent of the Wide Area Network (WAN) or remote connections to a central server for daily operations.

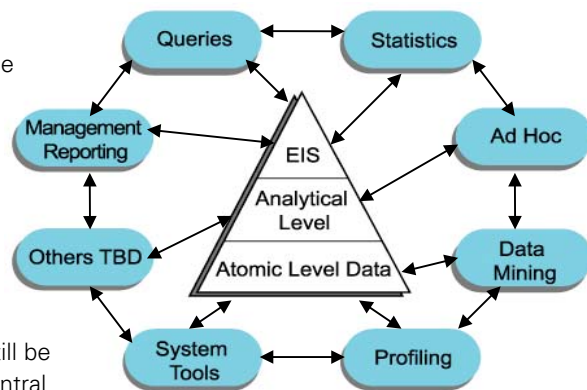
## Benefits of the Approach

The ACS on-site model will provide several benefits, by allowing the Division to:

- Leverage existing court investment in information technology professionals
- Leverage existing court investment in information technology hardware and network environment
- Allow solution to be specifically tailored for unique needs of larger courts while preserving data consistency and universal access across the state
- Allow courts to determine the best mix of ACS services to compliment their in-house staff skills
- Optimize cost for the project and takes maximum advantage of previous investments and local know-how

## Central Data Warehouse

A centralized ACS Justice Information System database will provide the foundation for the case management system data warehousing strategy. A central database will be inherent in the ACS application outsourcing model and will be the structure and architecture employed to collect and house information from all courts in Indiana. Whether a court is a remote user, a locally installed ACS Justice Information System court, or a court with a non-ACS case management system, it would still be able to contribute and retrieve information from the central database.



Oracle technology will be used to support the requirements for data warehousing performance, scalability, and manageability. The ACS data warehouse will support large numbers of users and a high volume of data.

This central repository will be used to produce management statistics and reports that will provide the Division with a decision support tool that will enable it to more effectively manage the judicial enterprise. In addition, the database will provide the state and local governments with a statewide master index to case information, including dispositions. The information in this central repository will be available to state agencies, such as the Bureau of Motor Vehicles, the Indiana State Police, Department of Correction, the Family and Social Service Administration, various agencies of the Indiana Supreme Court, and other public and private organizations with a



legitimate need and a right to access the data. This database will be managed and secured by ACS IT operations professionals and will be run from the ACS Data Center.

The ACS Justice Information System and the tight integration with Oracle's data warehousing technology provides an efficient and flexible solution for Indiana courts. The solution provides implementation of a centralized database that easily communicates with multiple case management system sources. Access begins with the Web portal, but can be extended to many user interfaces as the state's needs evolve over time.

### **Network/Connectivity**

As the prime contractor and systems integrator, ACS proposes to complete a network study for the Division to determine the best method(s) of connectivity, taking into consideration cost, reliability, bandwidth required, and the ongoing cost to support the network. ACS will provide several options for implementing the network, considering the existing statewide fiber-optic backbone against other available options.

ACS has vast network implementation experience, and we offer the option of having ACS provide the ongoing support and maintenance required for network reliability.

### **The ACS Implementation Process**

The implementation of the ACS application outsourcing model will be relatively simple and transparent to court clients. ACS will load and certify all software in the ACS Data Center, and it will be set up to encompass pre-established Indiana-specific best practices. We will load and test any customization and special reporting that has been requested by the Division. We will work with any of the courts using the application outsourcing model that desire a conversion of existing data or creation of any special reports.

The implementation of the local on-site model will involve our standard implementation and roll-out methodologies and best practices. Each on-site implementation will begin with a Kick-Off Meeting for introductions, overview, and to confirm the project plan. The software installation and system certification process is next, followed by a court process review that allows ACS court consultants to more fully understand the details of that court's operations. The ACS system can then be configured to meet that court's particular needs and processes as closely as possible. We will work with each court location to develop a transition plan and perform or assist with conversions and interfaces. We will be on-site to begin the parallel activity and again when your system goes live.

### **Education and Training**

ACS proposes education and training services tailored for the two models. For the application outsourcing model and the majority of the on-site court implementations, we propose training at a central or regional education facility where we could provide direct training to all users. This will provide cost-effective training for the trial courts. We would hold these classes periodically, by request, or both.

For the largest trial courts deploying the ACS Justice Information System on-site, we would employ a standard Train-the-Trainer approach. Using this method, we will train a core team of employees, who will then provide training to the end users. This method is not only the most cost-effective method, but it creates an internal product knowledge base for each on-site court. Training will consist of functional training on the ACS

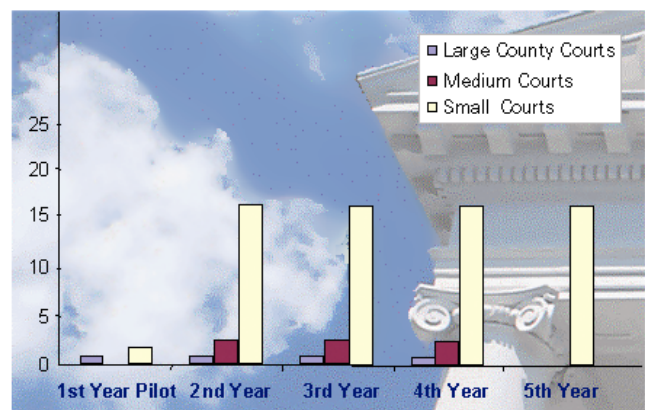
applications and technical training on the use of Oracle tools and forms, database administration, and other technical aspects. While the majority of local implementation models will be trained via the Train-the-Trainer method, any user can attend the central training class, if desired.

## Roll-Out

ACS is proposing a roll-out plan that recognizes the budget limitation that the Division has today and may have in the future. While we are suggesting the following roll-out plan, we can easily customize it to meet the Division's specific timing and budgetary constraints.

We are proposing three pilot sites that would cover both the on-site implementation model and application outsourcing (AO) model. Our proposed initial pilot sites include Marion County as the on-site court and two small counties that would implement under the AO model. We can develop all of the statewide requirements, set up the data center for the AO environment, and implement the state's largest court and two small courts all for under \$5,000,000.

### 5 Year Roll-Out Plan



Once the pilots are completed, we can employ a rapid, cost-effective deployment of the remaining sites. For purposes of this budgetary estimate, we have proposed implementing three medium-to-large county courts and 20 smaller county courts per year. This roll-out plan is based on the assumption that of the 92 county courts, the 12 largest courts will select the on-site model, and the remaining 80 county courts will choose the application outsourcing model. This plan anticipates the complete implementation of all of the courts within five years. While this is based on 12 on-site and 80 application outsourcing sites, the plan is very flexible to any mix of on-site and application outsourcing courts.

## Project Management

ACS has developed and refined a strong project management and software implementation plan that will be tailored to meet the unique statewide requirements as well as those of the individual jurisdictions. At the start of project implementation, ACS will refine the implementation plan to provide a well-structured, cost-effective, and smooth implementation process. This plan will take into consideration the unique requirements of the state and individual on-site courts and blend them with our experience in similar projects to ensure a successful implementation. As the largest justice consulting practice in the world, ACS' project managers have impressive project management experience in the justice marketplace.



## **The ACS Case Management Solution**

The ACS Justice Information System is installed in courts of all types and sizes. Since it's installed in more statewide courts and serves more constituents than any other court case management system, you can be assured that you have made the safe choice of a proven system. Courts such as the State of Missouri, the State of Rhode Island, Victoria (Australia), and the Singapore Subordinate Courts have chosen the ACS Justice Information System. The applications included in this offer are court case management for civil, criminal, juvenile, and traffic courts, and the ancillary components, which are ACS Accounting, ACS Extended Case Information, ACS ActiveArchive, ACS CourtConnect, and ACS Public Attorney. The robust functionality of these applications will enable court personnel to manage information more effectively and cost-efficiently. Our flexible rules structure allows these applications to be tailored to fit a wide variety of court processes. The system is powerful enough for large, complex courts with high volumes, yet intuitive enough for small courts with limited personnel resources. The system can also be customized to provide special functions that may be required by individual court locations.

## **Future Functionality**

The ACS Justice Information System is the ideal solution to support your long-term technology needs. This system has a proven track record. Since the system was developed in 1991, we have listened to our clients and made ongoing functional and technology enhancements to the system and its ancillary components.

In addition to consistently enhancing our system, we continually develop new components that assist courts, such as the ACS Juror Management System and our latest addition — the ACS Public Attorney solution for state attorneys, district attorneys, and public defenders.

In addition to the ACS applications, ACS maintains strategic partnerships with leading technology providers whose solutions we can make available to our court clients. Solutions that are compatible with the ACS Justice Information System include: e-filing from LexisNexis™ CourtLink® product; interactive voice response, kiosk, and credit card payment processing systems; and electronic signature and document imaging and management with vendors such as OTG, File-net, and Bull. In addition, as an experienced systems integrator, ACS can develop interfaces with nearly any technology that the Division desires.

The ACS Justice Information System is consistently enhanced to maintain its state-of-the-art status and is one of the most proven case management systems in the marketplace. Proven not only means proven to perform correctly, but also the methods and procedures surrounding it are proven as well, and are based on some of the best standards in the technology industry. More importantly, proven means an application ready to install and a refined implementation process that allows Indiana courts to immediately benefit from this automation effort.



## **Solution for Additional Funding Source**

### **ACS Debt Collection Service**

Realizing that funding a statewide courts system may present a challenge, ACS is pleased to submit this additional service offering for your review. Operating a national government collections center, ACS offers a well established, technically sound, cost-effective solution that is dedicated to the collection of delinquent government receivables, including court fees and fines. ACS provides a full service solution that includes noticing, telephone collection, and a performance-reporting package.

Over the past three decades, ACS has emerged as a national leader in the collection and processing of public sector funds. We will provide the Division with an uncommon level of sophisticated support and solid financial stability. The state will benefit from our established technologically sound solution, which includes a reliable, high performing collection center, whose only purpose is to provide debt collection services to our government clients. Our ability to create collaborative partnerships with state, county, and municipal governments to collect and process payments has successfully increased revenue for the public sector and generated substantial cost savings for taxpayers.

Some of the benefits of ACS' national debt collection program are:

- Generation of immediate revenues with no up-front costs
- Maximized collection of aged debts through proven, fully integrated collection processes
- Realization of economies of scale
- Contingency fee-based pricing with no up-front fees or hidden charges
- Established operation expedites project startup
- Streamlined contracting process

Due to our proven performance in this critical and yet delicate environment, the National Association of Counties (NACo) has selected ACS to be its sole partner in marketing and delivering debt collection services to government entities across the country.

We are excited about offering this revenue enhancement initiative to the Division, and we would be pleased to discuss it in more detail at your convenience.



## **ACS – Our Company, Our People**

While a product is important, the company and people behind the product are even more important. The size, stability, dedication, experience, and “can-do” attitude of the company and its people can make the difference in not only the success of the project, but the level of success achieved. ACS is such a company, with \$3 billion in annual revenue and over 30,000 employees worldwide. ACS is the nation’s largest state and local government information technology supplier, and we have been delivering innovative technology solutions and services for many years.

ACS has a very solid financial footing and the resources and vision to accommodate growth of our client base. A publicly held corporation traded over-the-counter (NYSE:ACS), ACS maintains a solid backlog of future business under contract and serves more than 10,000 clients worldwide. A copy of our most recent annual report is provided with this proposal and contains audited financial information.

The knowledge, experience, and attitude of people in ACS will ensure your success. ACS has the largest number of court consultants in the nation. These court consultants come to ACS with actual court experience. Whether they are former judges, administrators, supervisors, technologists, or users, they all have direct court experience and understand the challenges you face. Before interacting with our clients, these consultants are thoroughly trained and certified on the product and the process of educating the users. Their experiences of successfully implementing this system in all types and sizes of courts is extremely valuable. Their understanding of the court environment, combined with the product knowledge and ability to deliver that knowledge, will help the Division establish best business practices and get the most of its automated systems. ACS’ experience in the implementation of four statewide courts provides us with unique knowledge that will be a tremendous asset for the Division’s Automated Information Management System (AIMS) project. We have provided sample resumes of the consultants and technicians that will be assigned to the AIMS project.

ACS’ worldwide courts competency center is only 90 minutes’ driving time from Indiana and three hours from Indianapolis. With over 1,500 employees within three hours driving distance to Indianapolis, ACS has a major investment in the state, which would make the success of the Indiana statewide court project a company priority.

## **ACS’ Commitment to the Justice Community**

ACS’ involvement in the justice community is unmatched by any other provider. We have been associated with the National Center for State Courts since the early 1990s, and the ACS Justice Information System will be the court case management system featured in Courtroom 21 in Williamsburg, Virginia. We are member of the Industry Working Group (IWG), Legal XML, and NCSC’s FACT Committee (Forum for the Advancement of Court Technology), ensuring that our solutions and our clients are able to help set the standards that solve critical problems facing justice organizations. At ACS, we combine the ideas of court visionaries with the knowledge of our court specialists and technology experts. The result: whenever our clients are ready for new technology, ACS is there with the knowledge, experience, and the right solution to help them reap the benefits.

## **Proven Solutions from a Technology Leader**

ACS offers unparalleled product functionality, as well as extensive technical and industry expertise. ACS is uniquely qualified to handle the demands of the AIMS project for the following reasons:



- **Proven System** – The ACS Justice Information System is the most full-featured court case management system in the marketplace. It has been proven in courts of all types and sizes and successfully implemented in many statewide environments.
- **In-State Resources** – ACS has existing technology service locations in Indianapolis, Ft. Wayne, and Evansville that are staffed with functional and technical resources that may be called on when needed. In addition, ACS is open to working with other qualified Indiana technology firms and minority firms for many of the implementation services.
- **Statewide Court Experience** – ACS has valuable statewide courts experience that is ideally suited for the Indiana statewide courts project.
- **Other Large Project Experience** – Although the ACS Justice Information System is an integrated solution, the AIMS project also requires interfaces to other government agencies and technologies. ACS understands the demands of such a comprehensive project and has both the resources and technical knowledge to address the needs of interfaces and integration. Our other large project experience includes implementation of the ACS Juror Management System in 72 U.S. Federal District Courts and the installation of an ATM networking structure for the courts and several justice agencies in Hillsborough County, Florida.
- **Single Vendor** – ACS has single-vendor service offerings that cover the full gamut, including our application outsourcing model, on-site model, software, network, data warehouse, project management, and continuing support services. As a single prime vendor, ACS will assure that there are no gaps or miscommunications between providers of these different services. ACS is the only vendor with deep experience in each of the project component areas. Utilizing ACS as the prime contractor, the Division can count on ACS for full responsibility and accountability, which will create a more efficient implementation and generate more effective results than multiple-vendor contracts.
- **Creative Funding Models** – ACS provides debt collection and other revenue-generating services that can become part of this solution. We have a track record for generating significant income for states. Revenues that would otherwise be lost can be applied to fund this statewide project.
- **Technical Currency** – The application outsourcing model will greatly speed the delivery, implementation, and adaptation of new technology changes for Indiana courts, allowing the courts to better keep pace with technology in the years ahead.
- **Commitment to Justice** – The fact that we invest more in justice than any firm is evidence of our long and active association with this community and the number of employees that are justice-specific. With ACS, the Division will have an innovative partner to help provide effective justice for your constituents.

## **Long-Term Partnership**

ACS is known for its long-term partnerships with state and local governments and looks forward to becoming the Division's long-term partner. As a start to that partnership, we developed a solution that will accomplish your objectives while at the same time recognizing funding limitations.

In our desire to become your partner, we are offering the ACS Justice Information System and related components on a statewide basis with an attractive, one-time start-up cost that secures the Division the right to use either of the implementation models at the lowest possible incremental cost.

We will also provide you with a solution that can generate benefits right away, while at the same time positioning the Division to accelerate the automation process as funding is made available. The application



outsourcing solution exemplifies this. This solution allows a court to get up and running with the application for a very nominal, monthly investment in an extremely short period of time.

The on-site model allows us to implement larger pilot sites, and deliver our best-of-breed application to them while at the same time recognizing the many nuances that accompany large enterprise operations. The services delivered to these sites will be highly customized as needed to be successful, yet still preserve the goals of statewide standards and data accessibility.

Both of these models provide built-in incentives for ACS to continue to work closely with a governance committee, assisting them in the effort to encourage courts to become part of the statewide solution. ACS' skills in demonstrations, presentation, seminars, and visits are qualities that can be put to use under the direction of the state court governance committee. This partnership would be a joint mission to provide the benefits of world-class automation to courts in Indiana and realize the benefits of a consolidated data warehouse across the state.

Even after the last state court is automated, we will remain involved with ACS Hotline assistance, user group meetings, continuing education, and services that allow the Division to take advantage of the benefits of future technologies.

We are very pleased to have the opportunity to present this unique, innovative approach to satisfy the Indiana trial courts' need to better manage their caseloads, provide greater information access, and reduce the cost of trial court operations.



## Budgetary Estimate

ACS has an understanding of the current and projected future budgets for the Statewide Judicial Case Management Software System. Our plan anticipates some shared cost for this project between state, local and other funding sources. ACS' application outsourcing (AO) approach is a unique method that provides the everyday operational services for the courts that choose this full-service option. This service will reduce the need and expense for local IT operations that are presently performing these same operations. This is just one way that additional local funding could be generated in support of this project. The following is a budgetary estimate only, and not a firm price proposal for the Division of State Court Administration for the Indiana Supreme Court.

### Implementation of the Pilot Project

ACS Application Software	\$ 0
Network Study	\$ 114,500
Oracle Software	\$ 330,000
Project Management	\$ 170,000
Establish Indiana Best Practices, Customization, Interfaces, and Reports as well as Implementation Services for the CMS for Marion County	\$ 3,780,500
Implementation Services for two additional Counties via the Data Center	\$ 200,000
Startup Costs for Providing the CMS in an ACS Data Center	\$ 229,405
First Year of Data Center, Software Support and Maintenance Services	\$ 172,600
<i>Total</i>	<b>\$ 4,997,005</b>

### Implementation of the Statewide Rollout

Statewide License ACS Application Software	\$ 1,000,000
Additional Oracle Software	\$ 1,470,000
Statewide Implementation Services for the CMS	\$ 17,139,230
Data Warehouse	\$ 500,000
Establish The Statewide Network	\$ Not Incl.
<i>Total</i>	<b>\$ 20,109,230</b>

### Annual Support Costs

ACS Application Software	\$ 300,000
Oracle Software	\$ 411,400
Full time DBA and System Administrator for the Hosted CMS System	\$ 250,000
Application Outsourcing Service Fee for Supporting 80 County Courts	\$ 2,238,596
<i>Total</i>	<b>\$ 3,199,996</b>

### Multi-Year Funding Model

FY2002 Pilot Project	\$ 4,997,005
FY2003 Implementation of 25% of the Court Systems	\$ 8,373,435
FY2004 Implementation of 25% of the Court Systems	\$ 7,891,805
FY2005 Implementation of 25% of the Court Systems	\$ 7,385,453
FY2006 Implementation of 25% of the Court Systems	\$ 5,644,328
<i>Total 5 Year Budget Estimate</i>	<b>\$ 34,292,026</b>



## **Budgetary Estimate Assumptions**

The pilot project assumes that Marion County will be part of the initial pilot project, and that all Marion County and State of Indiana specific functionality, interfaces, and reports that are needed will be initially built, and that will form the Indiana-specific solution used for the implementations after the pilot project has been completed.

The estimate assumes that a single set of standard codes and rules will be built to establish Indiana best practices. The ACS Justice Information System will then be delivered and available for immediate use in this standard format for all subsequent implementations after the pilot project has been completed.

The multi-year budgetary estimate assumes that 20 county court systems will be deployed using the application outsourcing approach each year during a four-year rollout period.

It has been assumed that the 12 largest counties will implement the ACS Justice Information System on-site on their local equipment. It has further been assumed that the remaining 80 counties will utilize the ACS application in the application outsourcing model with the applications running in the ACS Data Center.

Data conversion services have been included for the 12 largest county courts, and it has been assumed that no data conversion will be performed for the remaining county courts.

The budgetary estimate for the data warehouse is assumed to be comprised of data from the ACS Justice Information system only, and does not assume that different legacy systems contribute to the warehouse.

Network and/or line charges to the ACS Data Center have not been including in the budgetary estimate. A network study has been included to determine the how to best deploy a statewide network taking into account performance, cost and time to implement.

The ACS applications will be immediately available to the county courts by utilizing a local ISP connection to the Internet, a leased line, or via a VPN. Additional direct network connections are anticipated.

Oracle licenses are based on the actual hardware that will be used and therefore is a budgetary estimate based on the size of the anticipated configurations.

ACS offers a no charge license for the ACS Justice Information System for the three pilot county courts. The cost to extend the license for unlimited statewide use has been provided for \$1,000,000.00.



## **Summary**

ACS is proposing a creative solution that will allow the Indiana courts to implement the most widely used case management system in the industry and do so in a unique and cost-effective way. Using both on-site and application outsourcing deployment models, this plan will position Indiana as a leader in the effective use of technology in the justice environment, both now and into the future. Regardless of the model a court selects, all of these courts will contribute to a central data warehouse. The data warehouse will provide the single, comprehensive information database needed by the courts, law enforcement agencies, and administrators to effectively manage case information.

The ACS solution will be tailored to include Indiana-specific best practices that allow clerks to manage their caseloads faster and more easily than ever before. Our flexible implementation approach can be customized to fit your timing and budgetary needs. With a track record of on-time and on-budget implementations, ACS' team of court consultants, technologists, and support personnel will be dedicated to working with the Division in this strategic partnership. We take pride in satisfying our customers, as demonstrated by our #1 ranking in service quality by *Federal Computer Week*.

As the leading supplier of technology solutions to the state and local government marketplace, ACS is uniquely qualified to perform a systems integrator role, accepting complete responsibility for the successful implementation of this critical initiative. Our company's size and stability, combined with our unmatched experience in four statewide court projects, will be a valuable asset in assuring the success of the AIMS project. With the largest justice practice in the nation, vast local resources within the state of Indiana, and a worldwide justice practice only 90 minutes from Indiana, ACS stands ready to make the AIMS Project a source of pride for Indianans.



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## 2 - ACS' Functional Standards Response

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### Response Key

ACS has responded to the Division's functional standards according to the criteria in the Public Notice of Contracting Opportunities:

"Each functional item listed in the tables below receive a "Y" if the functionality already exists in an implemented CMS, an "N" if the functionality is not incorporated in an implemented CMS, and an "R" if the functionality has been developed and is presently ready for release, but has not yet been implemented in any live CMS installations."

ACS has provided supplemental comments with some of our responses. These comments are indicated by an asterisk (\*) and correspond with comments provided immediately below the respective section.

### 1.0 Basic System Architecture and Functionality

Y/N/R	
Y	1.0.1 system code and table-driven
Y	1.0.2 user-defined tables for administrator(s)
Y	1.0.2.1 state and local ordinance and statute (charge) codes with additional fields to represent start and end active dates of statutes, categorization of statutes, repeat offender penalties, actual state and local statute numbers, associated fines and collection fees
Y	1.0.2.2 law enforcement officer tables
Y	1.0.2.3 action codes that detail related triggers for court events (for example, an arraignment would trigger a calendar action and hearing information) and for miscellaneous comment entries such as "bench warrant issued" or "complaint filed"
Y	1.0.2.4 disposition type and sentencing codes
Y	1.0.2.5 history of fee & fines tables maintained on-line
Y	1.0.2.6 system automatically calculates fees based on table in effect at the time the fee or fine was imposed

Y*	1.0.2.7 record event processing time for comparison to standards
Y	1.0.2.8 manage case retention time standards
Y	1.0.2.9 maintain and utilize judicial officer resources
Y	1.0.2.10 maintain location/facility availability
Y	1.0.2.11 track holidays and vacations
Y	1.0.2.12 record severity of charges
Y	1.0.2.13 allow motion type codes
Y	1.0.2.14 provide for bond schedule
Y	1.0.2.15 maintain disbursement and distribution schedule
Y	1.0.2.16 record class of charges for each individual based on case categories found in Administrative Rule 8
Y	1.0.2.17 record hearing types
Y	1.0.2.18 maintain case status
Y	1.0.2.19 permit judicial officers to waive portions of court costs and fees or to waive entirely all court costs and fees
Y	1.0.3 utilize a graphical user interface (GUI)
Y	1.0.3.1 consistent user interface through all modules
Y	1.0.3.2 available short cut/hot keys to permit user control of system from computer keyboard
Y	1.0.3.3 access to all areas of the system without performing multiple log-ins for users with appropriate security levels
Y	1.0.3.4 plain language error message that end users would understand
Y*	1.0.3.5 ability of user to enter past and future effective dates
Y	1.0.3.6 available on-line help
Y	1.0.4 ability to run in a Web browser with the same full functionality as a client/server environment
R*	1.0.5 ability to run in a Java environment
Y	1.0.6 ability to run as a Windows 32 bit client
	1.0.7 required updates/enhancements implemented by vendor
Y*	1.0.7.1 standard updates/enhancements require no additional substantive programming changes and no additional non-contract costs
Y*	1.0.7.2 customization standards in place by vendor so that system updates can still be performed without loss of customization
Y*	1.0.7.3 standard release schedule for major software revisions

Y*	1.0.7.4 cost of upgrade and enhancement included in on-going support obligation
	1.0.8 Support and Implementation issues
Y*	1.0.8.1 vendor will commit a full-time on-site project manager/team for the duration of the project
Y*	1.0.8.2 problem log maintained by vendor
Y	1.0.8.3 telephone support available through a toll free number
Y*	1.0.8.4 telephone support available twenty-four (24) hours per day
Y*	1.0.8.5 problems may be resolved by vendor through remote diagnostics using a modem, the Internet, or a VPN.
Y*	1.0.8.6 vendor is capable of providing on-site technical support if telephone support does not resolve problem
Y*	1.0.8.7 hardcopy manuals are available for each user
Y	1.0.8.8 technical support manuals for other component parts of the CMS are available
Y*	1.0.8.9 end-users have rescue or installation disks for the CMS or its component parts
	1.0.9 Physical Case File Management
Y	1.0.9.1 ability to generate and read bar code labels
Y	1.0.9.2 users have ability to forward files and update the file tracking system with appropriate security
Y	1.0.9.3 track multiple volumes of files
Y	1.0.9.4 assign security designations to physical files
Y	1.0.9.5 current location of a file and file status (whether open, closed, or archived) maintained and searchable
Y	1.0.9.6 generate list of case files to be boxed and/or archived
	1.0.10 Integration of other technology
Y*	1.0.10.1 support e-mail input and output
Y*	1.0.10.2 include a document management system
Y*	1.0.10.3 if a document management system is not included, seamlessly integrate with a third party document management system.
Y*	1.0.10.4 provide for Internet payment of fees and fines, as well as credit card payment and other electronic transfer of funds
R*	1.0.10.5 include full functionality for data warehousing as part of the CMS

R*	1.0.10.6 if a data warehouse is not included, seamlessly integrate with a third party data warehouse solution, and if so, please indicate with which architecture or vendor solution this integration is possible
Y*	1.0.10.7 capable of full and seamless interface with existing legacy CMS, as well as Quest and ProsLink.
Y*	1.0.10.8 Internet-enabled to allow easy display and collection of data through the World Wide Web.
Y*	1.0.10.9 includes technology necessary to accept case filing electronically
	1.0.11 modules included or integrated into CMS
Y*	1.0.11.1 probation
Y*	1.0.11.2 detention facility
Y*	1.0.11.3 prosecutor
Y*	1.0.11.4 public defender
Y*	1.0.11.5 clerk / financial
Y*	1.0.11.6 drug treatment and alcohol
Y*	1.0.11.7 mental health
Y*	1.0.11.8 jury management

### **ACS Comments to Section 1.0, Basic System Architecture and Functionality**

1.0.2.7: This requirement can be met by the organization with the use of any ODBC-compliant report writer. The Division would be responsible for both procuring the report writer and generating the reports. Should the Division elect ACS to generate these reports, these services would be contracted separately from ACS at the then-current hourly rates. Some examples of ACS Justice Information System-supported report writers include Microsoft Access, Oracle's Discoverer Series, Crystal Reports plus many other commercially available products. Please note that this feature is available through a third-party report writer to the extent that the data element already exists in the ACS Justice Information System. It should also be noted that, at this time, ACS does not offer training on specific report writers. The Division would need to select a vendor to provide this service. ACS can provide training on extracting ACS Justice Information System data using a report writer, if desired.

1.0.3.5: Certain codes allow for effective dates. These include fee codes (with effective future dates) and location/room codes (with effective future dates).

1.0.5: The Oracle9i Application Server (Oracle9iAS) Enterprise Edition provides the foundation for a large number of services in the ACS Justice Information System's technical architecture. It provides a flexible deployment platform that supports the latest industry standard technologies and programming languages including PL/SQL, Forms Services, Java2 Enterprise Edition (J2EE) APIs with Java servlets, Java Server Pages (JSP), Enterprise Java Beans (EJB), as well as XML.

This application server provides a simple, complete, and integrated platform for a variety of services including thin client screen presentation, PL/SQL business components, Java containers, and external messaging access to the business logic. Portal and single sign on support can also be configured with Oracle9iAS. Oracle9iAS offers high levels of scalability, load balancing, and availability. Users running the ACS solution from the Oracle9i Application Servers (Oracle9iAS) should perceive little to no loss of service during many types of hardware and software outages. Oracle9iAS provides a number of features and mechanisms designed for high availability. These include:

- No single point of failure
- Isolated sessions to minimize impact of session outage
- Automatically detect failures, reroute connections, restart processes, and in many cases can perform session failover

In order to provide for high availability and load balancing, it is anticipated that a third party product such as Cisco Local Director will be part of the deployment.

The Oracle HTTP Server is based upon the Apache Server, the de facto standard Web listener. ACS Justice applications such as ACS CourtConnect use the Oracle HTTP Server for Web listener services. The Oracle HTTP Server incorporates extended Apache functionality such as security through the OpenSSL module to provide SSL and HTTPS support, and will dispatch Web requests for execution by Java, PL/SQL, Perl, and other applications. Additionally, Oracle9iAS supports services over the Simple Object Access Protocol (SOAP), which uses XML-based messages shuttled by HTTP or HTTPS. Oracle9iAS SOAP is compliant with Apache SOAP 2.0.

The ACS Justice screen presentation services run within the Oracle9iAS Forms Services component. On the application server tier, Forms Services consist of a listener servlet and a runtime engine for the ACS Justice screen. The runtime engine accesses data in the ACS Justice database through an Oracle Net connection. On the client tier, a generic, lightweight Java client applet downloads into the web browser. This generic forms Java applet provides the user interface for the screen. It renders the user interface defined in the application based on metadata sent from the Forms Services runtime engine running on the Oracle9iAS server. The applet running in the browser client and Oracle9iAS Forms Services can exchange messages using a number of mechanisms directly over TCP/IP sockets (appropriate for most intranets) or with structured messages encapsulated within HTTP/HTTPS packets for use in Internet environments and through firewalls and proxy servers.



The PL/SQL Engine provides services to support PL/SQL Server Pages (PSP) and components that will run on the application server. These components can be configured to run in the most scalable tier of the architecture, either database or application server, based upon the specific function(s) provided by the components. The components are reusable by the ACS Justice applications, third party applications, and external agencies. Over 300 reusable business logic components are provided by the ACS Justice application with additional components available in upcoming releases. The evolution of these business logic components from the screen program into reusable components provides a significantly quicker and cheaper migration path for those clients with highly customized solutions.

The Java container provided with Oracle9iAS is a fast, lightweight, highly scalable, easy to use and complete Java2 Enterprise Edition (J2EE) container which executes on the standard Java Development Kit (JDK) Virtual Machine. The J2EE container includes complete support for Enterprise Java Beans (EJB) 1.1; Servlet 2.2; Java Server Pages (JSP) 1.1; JTA 1.0.1; JNDI 1.2; JMS 1.0; JDBC 2.0; and JavaMail 1.1.2. It provides near complete implementations of the following specifications that are part of the J2EE 1.3 Specification – EJB 2.0 and Servlets 2.3. In addition, standard services such as JSP Tag libraries, WAR and EAR file-based deployment, auto deployment and “hot” deployment of J2EE applications are provided. Advanced clustering facilities to support both stateless and stateful application failover are available.

ACS Justice components built with PL/SQL are available through wrapper techniques to Java components. The same access to Java components is available to the PL/SQL components. PL/SQL components can migrate to Java as the J2EE standards evolve without impacting the existing applications at the client sites. The Oracle9iAS infrastructure provides this path without the requirement for changes in the hardware infrastructure for your organization. This ability to run concurrently and communicate between the different components provides a very stable and evolutionary platform for the ACS Justice application.

The Oracle9iAS InterConnect service is a comprehensive integration framework that enables seamless integration of enterprise software. It provides integration of heterogeneous systems including Oracle applications, non-Oracle applications, or third party messaging oriented middle-ware.

The integration methodology for InterConnect is based upon a hub-and-spoke model that eliminates the complexities of point-to-point custom integration. This hub-and-spoke model provides a loosely coupled integration where applications integrate to a common view, greatly reducing the number of integration interfaces. Changes in the application views are localized where only the application’s spoke is changed and remapped to the hub. The other spokes remain unchanged. Under this approach, applications can be added or removed from the integration without affecting the rest of the applications.

The components of InterConnect are written in pure Java and utilize a proven infrastructure to deliver a robust, reliable, scalable, and performant integration. In particular, the Oracle Message Broker provides the standard Java Message Service (JMS) interface for messaging. It, in turn, utilizes the Oracle Advanced Queues services, which provide message retention, auditing, and tracking support. These components comprise the messaging hub.

1.0.7.1: ACS provides upgrade/enhancement releases at no charge under the ACS Product Support & Enhancement Program. If a client is in the process of implementing the ACS Justice Information

System when a new upgrade/enhancement release is delivered, there may be additional services required, which can be provided at ACS' then-current billable rate. The services that may be required to implement a new upgrade/enhancement release can include installation, certification, functional training, project management, and custom modification integration. The type of services required may vary, depending on the nature of the upgrade/enhancement release, the client's technical abilities, implementation status/progress, and level of customization. Each client should contact the project manager prior to loading any new upgrade/enhancement release to determine the issues related to loading the software release.

- 1.0.7.2: ACS does not typically perform installation of updates/enhancements of the baseline software. Should the Division determine that ACS is the selected case management system vendor, ACS would be willing to negotiate service levels for installation of future releases. Under the proposed ASP model, with the continuing RDBA service option, ACS would install the standard updates/enhancements provided the Division requests the service. Under the local installation model, each local site would be responsible for installing the updates/enhancements unless otherwise contracted for.

Under either model, additional fees would be incurred, should the Division request ACS to perform reintegration services of any State/County specific modifications to the update/enhancement.

Software update and enhancement releases are provided to ACS Product Support & Enhancement Program members via CD-ROM. Installation scripts are provided to our clients in order to guide the client through installation of the release. After the initial installation of the system, each maintenance release received from ACS contains only software that has been modified, in addition to any SQL scripts necessary to make database changes. After these maintenance releases have been reviewed by the client's organization, you may choose the most effective way to implement the release.

Furthermore, to best support our clients' migration to new releases of the ACS Justice Information System, ACS uses advanced software tools that efficiently manage the integration of custom modifications. These tools include Trillium Software's Developer/2000 source code comparison tools and Platinum Harvest's configuration management tools. The Trillium source code comparison tools provide essential information required for understanding the source code differences between multiple versions of a program. The Platinum Harvest configuration management tool provides a cornerstone for a disciplined integration methodology between ACS' Professional Services and the ACS Justice Information System development groups.

- 1.0.7.3: In general, ACS provides major product releases every 12 to 18 months. Interim releases are provided on an as-needed basis. Clients receive the results of any specific input through new versions of the software that are provided to ACS Product Support & Enhancement Program members.

- 1.0.7.4: ACS provides upgrade/enhancement releases at no charge under the ACS Product Support & Enhancement Program. Product updates are supplied by ACS to all ACS Product Support & Enhancement Program members to ensure that software products are current and responsive to the justice market.

- 1.0.8.1: If selected as the Division's case management system vendor, ACS will negotiate with the Division the level of service and support required for each implementation.



ACS' Professional Services Department will supply qualified consultants, technicians, and managers to work on site with your project implementation team to provide project management, consulting, and training on the ACS Justice Information System. ACS prides itself on employing qualified computing and application experts with not only the technical know-how you need, but additional, direct government experience that helps them understand the unique needs of justice organizations. Our staff has extensive experience working for and with government organizations. Their justice implementation experience allows them to work closely with your project team in order to demonstrate the benefits of using the ACS Justice Information System.

- 1.0.8.2: Upon calling the ACS Hotline, our receptionist will provide you with a Contact Number that you can use for tracking purposes. The Contact Number is automatically assigned to your call by our automated call tracking system. Referencing the Contact Number when making a follow-up call to the ACS Hotline will allow our consultants to inquire on previous calls and gain information more quickly.
- 1.0.8.4: The ACS Hotline toll-free telephone support system enables you to speak with an ACS consultant regarding functional and technical issues and to report support issues. The ACS Hotline is staffed Monday through Friday, 8:30 a.m. to 6:00 p.m., Eastern Time. If extended hours of support are required by the Division, they may be contracted separately at an additional charge.
- 1.0.8.5: Remote diagnostic services are available through the ACS Product Support & Enhancement Program. In those cases where a problem cannot be replicated on ACS' baseline application code, ACS may use a dial-up line to diagnose the problem on the client's machine. In order to provide this service, ACS requires the client hardware be equipped with a modem and, on an as-needed basis, that we be granted permission to access the client's system in order to aid in identifying and isolating problems related to the software. We currently use standard telephone line capability to perform remote diagnostics and recommend our clients acquire pcAnywhere as the communications software to be utilized between the two organizations.
- 1.0.8.6: Following the implementation of the software, on-site support is generally not required by clients. Most technical problems are resolved via the ACS Hotline. Production critical matters receive the highest priority and are addressed as soon as possible. If desired, on-site assistance can be scheduled, at a mutually agreed upon time, and provided by our Professional Services department. This service will be contracted for separately and at the then-current hourly rate.
- 1.0.8.7: New software releases of the ACS Justice Information System are delivered on CD-ROM with one set of documentation. System documentation is distributed in machine-readable media with the software. Users are encouraged to make this documentation available to their staff in a variety of formats.
- 1.0.8.9: ACS has configured hardware with high uptime availability. A number of options are available, including hot hardware replacement and hot disk replacement for high availability requirements. Oracle also provides a wide range of options to prevent catastrophic failure. The Oracle relational database supports both clustered environments and Oracle's Parallel Server technology for full 24x7 support. Oracle also provides Automated Standby Database support in case of failure at the primary site. These options can be priced separately if requested. In addition, Software update and enhancement releases are provided to ACS Product Support & Enhancement Program members via CD-ROM. Installation scripts are provided to our clients in order to guide the client through installation of the release.

1.0.10.1: ACS Justice may be integrated with e-mail systems. This requires an interface modification to work with your specific e-mail application. ACS can provide a quote to perform this integration after detailed discussions concerning your needs and specific e-mail application are undertaken.

1.0.10.2: ACS Justice may be integrated with a DMS of your choosing. If your jurisdiction does not have a stated preference, ACS can recommend DMS vendors with whose applications we have integrated in the past.

1.0.10.3: Please see the comment for 1.0.10.3.

1.0.10.4: ACS Justice allows for internet payment of fees and fines for traffic violations through the eTraffic component to the application. Internet or electronic payment for other types of fees and fines would require integration with a third-party payment application.

1.0.10.5: The ACS Justice Information System and Oracle9i provide a solid foundation for warehousing of the justice information. The ACS normalized database is available for development of materialized views and other warehousing techniques required for your organization.

Oracle provides the technology foundation needed to build a complete and integrated solution for Business Intelligence and Data Warehousing. The three products of Oracle9i, Oracle9i Database, Oracle9i Application Server, and Oracle9i Developer Suite, allow users to rapidly develop and deploy data warehouses and data marts with a complete and integrated array of reporting, querying, and analytic capabilities.

Oracle9i Database is an analysis-ready database with ETL, OLAP, and Data Mining built right into the data server where analysis takes place. Oracle9i Application Server comes with built-in portal and services that allow easy development and delivery of customized intelligent information to all. Oracle9i Developer Suite comes with tools to build and manage the data warehouse, to build applications, and to provide easy access and distribution of information across the enterprise.

ACS works closely with your organization to define the warehousing requirements and design of the data mart to fit your individual requirements. The Oracle9i technology and toolkits provide a strong foundation for the development of a warehouse that can span multiple jurisdictions and meets your needs.

1.0.10.6: Please see the comment for item 1.0.10.5.

1.0.10.7: ACS can integrate with the current CMS through a custom interface to the application. A quote for this interface can be provided after more detailed discussions take place as to the exact form and function of the needed interface.

1.0.10.8: *ACS CourtConnect* enables you to enhance relationships with your constituents, while speeding information access and reducing your staff's workload. It provides a secure, Internet-based environment between you and your constituents.

Attorneys, members of the public, and businesses such as title companies and credit reporting agencies can view public information remotely, completely unaided by court personnel — keeping administrative costs and courthouse traffic to a minimum. These individuals will be able to access the system utilizing a common public access ID with an appropriate security level so they will not be able to view confidential information, such as juvenile case records. Court personnel, however, can be assigned user IDs with higher security levels, allowing them to access sensitive data through the Internet according to the types of information they are authorized to view.

ACS CourtConnect is a simple, cost-effective way to save time and disseminate information about cases, case activities, parties, schedules, and judgments. Users have the flexibility to search by individual name, company name, or case ID. Constituents gain immediate and appropriate access to your court's public information, including:

- Lists of cases associated with person or company names
- Case participants
- Case activities and schedules
- Case judgments
- Links to related cases

And because ACS CourtConnect works directly with the live or replicated ACS Justice Information System database, each single inquiry lets users view the information according to preference — whether by case, parties, calendar, or activities.

*ACS eTraffic* – Today's traffic courts must handle a high volume of cases as quickly and efficiently as possible, while facing increasing constituent expectations for faster, more convenient services. ACS eTraffic allows court constituents the ability to pay for citation fines/fees across the Internet. With ACS eTraffic, it is possible to reduce workload, increase collections, and respond quickly to the public without increasing staff or extending office hours.

Developed using n-tier technology, ACS Justice Information System business logic, and TouchNet's LogiXStream e-business architecture, ACS eTraffic maintains the utmost in flexibility and data security, while giving the public a convenient payment option. Its scalable, open architecture means it can meet the needs of a court system and its public as they grow and change.

1.0.10.9: Electronic Filing requirements can be accomplished by ACS and CourtLink through our strategic business partnership. However, more information is required in order to provide a detailed solution approach.

1.0.11.1: ACS Justice can provide these functions within the case management system proposed. However, if your jurisdiction requires that these functions be provided through an interface to an existing system, a modification for that interface would need to be quoted at a later date after the specifics of such an interface are discussed.

1.0.11.2: This requirement can be accomplished through an ACS' strategic business partnership. However, more information is required in order to provide a detailed solution approach.

ACS can provide these functions through an interface to applications provided by Syscon. However, if your jurisdiction requires that these functions be provided through an interface to an existing system, a modification for that interface would need to be quoted at a later date after the specifics of such an interface are discussed.

1.0.11.3: Please see comment for item 1.0.11.1.

1.0.11.4: Please see comment for item 1.0.11.1.

1.0.11.5: Please see comment for item 1.0.11.1.

1.0.11.6: This requirement can be accomplished through an ACS' strategic business partnership. However, more information is required in order to provide a detailed solution approach.

ACS can provide these functions through an interface to applications provided by Syscon. However, if your jurisdiction requires that these functions be provided through an interface to an existing system, a modification for that interface would need to be quoted at a later date after the specifics of such an interface are discussed.

1.0.11.7: This requirement can be accomplished through an ACS' strategic business partnership. However, more information is required in order to provide a detailed solution approach.

ACS can provide these functions through an interface to applications provided by Syscon. However, if your jurisdiction requires that these functions be provided through an interface to an existing system, a modification for that interface would need to be quoted at a later date after the specifics of such an interface are discussed.

1.0.11.8: Please see comment for item 1.0.11.1.

## **2.0 Case Initiation and Indexing Function**

**Table 2.1 --- Case Initiation Sub-functions**

<b>General Requirements</b>	
Y	2.1.0 generate and assign case numbers using format and categories defined in Administrative Rule 8, and user modifiable to reflect rule changes
Y*	2.1.1 generate case title or style from party names and other information
Y	2.1.2 generate and assign separate party identifier for each plaintiff, defendant, and other parties associated with the case
Y*	2.1.3 capture reason for initiation (new filing, transfer, etc.)

Y*	2.1.4 queue case initiation for review by Clerk staff to ensure compliance with filing requirements
Y	2.1.5 records must contain court, county and other identifiers, including attorney numbers and must permit the relationship of parties to be identified
Y*	2.1.6 automatic CCS entry including initiation information, contact information, and organizational information (for entities as parties in case)
Y*	2.1.6.1 record whether case filing is time sensitive or requires other special handling
Y	2.1.7 permit filing of case from dedicated terminal or walk-up kiosk
Y	2.1.8 generate receipt and proof of filing, including time and date stamp and receipt of filing fees
Y*	2.1.9 support differential case management based on weighted caseload categories and type of filings
Y	2.1.10 allow cases to be grouped by various criteria including parties and subject matter from single or multiple filings
Y*	2.1.11 automatically search for duplicate parties and prompt user when a party already exists and allow inclusion and updating of information as part of case initiation
Y	2.1.12 allow miscellaneous civil matters to be recorded and maintained absent a formal case filing (eg. tax warrants)
Y	2.1.12.1 permit full search capabilities on miscellaneous case information, including a fully searchable comment field

**Table 2.2 Criminal Case Initiation**

Y	2.2.0 entry of date, time and location of offense in both system fields and the CCS
Y	2.2.1 record the degree of offense and multiple offenses
Y	2.2.2 track the history of all charges and their dispositions
Y*	2.2.3 record the number of prior offenses with abstracts
Y*	2.2.4 electronically transfer cases from initial hearing courts to courts of general jurisdiction
Y*	2.2.5 initiated from ProsLink, local law enforcement, state law enforcement, and other electronic means
Y	2.2.6 ability to record and maintain miscellaneous criminal information which does not have a formal criminal case filing (eg. search warrant)
Y	2.2.6.1 permit full search capabilities on miscellaneous case information, including fully searchable comment field
Y	2.2.7 ability to accommodate changes in the criminal law, which must be applied as of the date of the offense, not as of the date of the change

**Table 2.3 Traffic Case Initiation**

Y		2.3.0. capture all information on issued tickets
Y		2.3.0.1 driver's license number
Y		2.3.0.2 state issuing license
Y*		2.3.0.3 location of license if confiscated
Y		2.3.0.4 violation
Y		2.3.0.5 police officer name and identification, police department
Y		2.3.0.6 class of license of offender
Y		2.3.0.7 Social Security number of offender
Y*		2.3.0.8 indicator flags for hazardous materials, accident, etc.
Y		2.3.0.9 offender license information, including expiration date, restrictions, address, entity name, type of vehicle, etc.
Y*		2.3.1 calculate speeding fines based upon ticket information in consideration of law in effect as of the date of the offense
Y*		2.3.2 system interface with or transmit directly to the Indiana Bureau of Motor Vehicles

**Table 2.4 Hearings**

Y	2.4.1	record the original plea, changes of plea, and dates of changes
Y	2.4.2	record which parties were present for the hearing
Y	2.4.3	record the hearing result
Y*	2.4.4	facilitate court management by reminding staff of files scheduled for hearing
Y	2.4.5	record and perform rescheduling, continuance dates, times, mass rescheduling, and reasons for schedule changes
Y	2.4.6	schedule multiple events by defendant in criminal cases
Y*	2.4.7	automatically schedule future court dates, times, actions, facilities, and judicial officers



Y*	2.4.8 permit integration of schedules with law enforcement and other entities external to court
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**Table 2.5 Events**

Y	2.5.1 unlimited number of events possible for cases, with scrolling windows for review and update of information
Y	2.5.2 event codes user or court administrator defined
Y	2.5.3 fully integrated word processing, scanned or electronically filed documents in the CCS
Y	2.5.4 automatically make multiple CCS entries for one case at one time
Y*	2.5.5 automatically record a fee or payment obligation for an event
Y*	2.5.6 record free form text regarding the event

### **ACS Comments to Section 2.0, Case Initiation and Indexing Function**

- 2.1.1: ACS Justice can generate case titles for traffic and criminal case types.
- 2.1.3: This can be captured as a site-defined docket and/or case type code and description.
- 2.1.4: New cases entered into the application may be reviewed on-line or a custom report used to access these cases to ensure complete and accurate entering of information.
- 2.1.6: Cases entered into the application are automatically indexed when saved.
- 2.1.6.1: This may be indicated through the entry of a specified docket/case history code and description.
- 2.1.9: This may be managed through the establishment of docket/case history codes and related rules which define the time-sensitive activities to take place based on these codes.
- 2.1.11: As part of case entry, the user has the option to search for existing parties before entering a new party. Also, when using a common or standard person identifier (e.g. DL #, SSN, etc) entry of an existing number will automatically return the existing person records.
- 2.2.3: This requirement can be met by the organization with the use of any ODBC-compliant report writer. The Division would be responsible for both procuring the report writer and generating the reports. Should the Division elect ACS to generate these reports, these services would be contracted separately from ACS at the then-current hourly rates. Some examples of ACS Justice Information System-supported report writers include Microsoft Access, Oracle's Discoverer Series, Crystal Reports plus many other commercially available products. Please note that this feature is available through a third-party report writer to the extent that the data element already exists in the ACS Justice Information System. It should also be noted that, at this time, ACS does not offer training on specific

report writers. The Division would need to select a vendor to provide this service. ACS can provide training on extracting ACS Justice Information System data using a report writer, if desired.

- 2.2.4: If both jurisdictional levels are utilizing the ACS Justice application, transfer is achieved by changing the case type designation.
- 2.2.5: ACS Justice may be integrated with outside applications for the purpose of case initiation. This requires an interface modification to work with these systems. ACS can provide a quote to perform this integration after detailed discussions concerning your needs and specific form and function of the outside systems.
- 2.3.0.3: This may be captured as a docket/case history code or tracked as an evidence entry with associated location.
- 2.3.0.8: This may be captured as a docket/case history code.
- 2.3.1: Fines may be calculated based on the offense code entered and the fees and fines entered as defaults for the specific code.
- 2.3.2: ACS Justice may be integrated with outside applications for the purpose of case initiation. This requires an interface modification to work with these systems. ACS can provide a quote to perform this integration after detailed discussions concerning your needs and specific form and function of the outside systems.
- 2.4.4: Please see the comment for item 2.2.3.
- 2.4.7: ACS Justice can create tickler events with recommended dates which an authorized user has the option to accept and schedule or save for processing at a later date.
- 2.4.8: ACS Justice may be integrated with outside applications for the purpose of case initiation. This requires an interface modification to work with these systems. ACS can provide a quote to perform this integration after detailed discussions concerning your needs and specific form and function of the outside systems.
- 2.5.5: ACS Justice can associate fees with docket/case history entries. If such an entry is associated with a scheduled event, the fee can automatically default as part of the case history.
- 2.5.6: Free-form text may be associated with a docket/case history entry. If such an entry is associated with a scheduled event, then this function is provided for.

### 3.0 Indexing

**Table 3.0 Indexing Sub-functions**

Y	3.0.1 create and maintain locally defined index that (1) contains basic index information such as each participant name, role in case, and whether party has an attorney; case type; case number; date filed; and cross reference to other parties in case, (2) permits database look-up by a choice of key fields and, if record found, (3) permits retrieval and display of index information, and (4) permits easy interfaces with other parts of case management system as noted below
Y	3.0.2 handle look-up and retrieval sub-functions by identifying a specific participant name, party role, case filed date range—if necessary, after eliminating other cases or parties that satisfy original look-up— and then obtaining index information by selecting from list of matching cases or parties or by using key fields
Y	3.0.3 allow users easy interface with other parts of the system such as CCS, scheduling, calendaring, and accounting for potentially all related case and financial information and with the inquiry and report generation capabilities for more varied displays and reports
Y	3.0.4 permit name search on variations of a person's or participant's name
Y	3.0.5 allow multiple names and bar identifiers, as well as firm affiliation for attorneys
Y	3.0.6 include index information in index record as noted above or make index information easily accessible or in a manner that requires no additional user actions
Y	3.0.7 permit updating of index based on occurrence of specific case events
Y*	3.0.8 extract, print, or otherwise produce with appropriate security restrictions index information arranged according to various components of index
Y*	3.0.9 retrieve basic index information on all cases associated with specific participant
Y	3.0.10 accommodate aliases in conjunction with indexing and processing of participant names as appropriate
Y*	3.0.11 permit search for participants based on address
Y	3.0.12 permit search for participants based on Social Security number search
Y	3.0.13 permit search for participants based on approximate spelling of party names (e.g. a "sounds like" search)
Y	3.0.14 permit search for participants based on gallery number or other law enforcement identification
Y	3.0.15 permit search for participants based on driver's license number or other state issued identification number
Y	3.0.16 accommodate <i>lis pendens</i> matters, including ability to record and communicate when a <i>lis pendens</i> notice is no longer warranted

**Table 3.2 --- Case Header Sub-functions**

Y	3.2.1 maintain case information originally entered during case initiation in CCS including information on initial filing and basic case information
Y	3.2.2 maintain information originally entered during case initiation for parties and participants as individuals or organized entities with a primary contact person

**Table 3.3 --- Event Information Sub-functions**

Y	3.3.1 enter and maintain information and dates on filings and other completed events not previously in system
Y	3.3.2 create CCS entry and update case information based on occurrence of specific events that can be completely or partially transferred from another function such as hearing scheduled, hearing results, dispositions and requests for enforcement of judgments
Y	3.3.3 create CCS entry based on electronic documents distributed by other functions
Y*	3.3.4 permit user to identify and retrieve electronic documents by identifying them on each detailed list of CCS events and easy display or printout of electronic document
Y	3.3.5 allow single event to create multiple CCS entries
Y	3.3.6 enter, maintain and display or print information on special case processing requirements or orders
Y	3.3.7 maintain case information as official court record in accordance with state and local statutes or rules
Y	3.3.8 permit the entry of <i>nunc pro tunc</i> entries, to the extent permitted by administrative rules and state law

**Table 3.4--- Information Relationships Sub-functions**

Y	3.4.1 maintain information on multiple parties, participants, witnesses, victims and attorneys in each case, such as personal information and status
Y	3.4.2 maintain multiple current and historical addresses, with beginning and ending dates, for each party, participant, witness, victim and attorney
Y	3.4.3 enter, change or withdraw attorneys for specific cases (or groups of cases) or parties (or groups of parties) with dates when active and inactive
Y	3.4.4 maintain information on law firms and associated attorneys
Y	3.4.5 maintain information and relationships on multiple cases, judicial officers, attorneys and parties and allow changes such as transfers in single user action
Y	3.4.6 permit, with proper security clearance and supervisor approval, editing and deletion of specific CCS entries and all data related to those entries with an accompanying audit trail record of the modifications or deletions

Y*	3.4.7 apply specific changes to multiple CCS's, parts of CCS's or groups of cases so that user can make change in single action
Y	3.4.8 link and display information on CCS entries for events related to current CCS entry (e.g. new motion filed should be linked to motion that it opposes)
Y*	3.4.9 link and display documents and images that are related to CCS entries

**Table 3.5 --- Input/Output Management Sub-functions**

Y	3.5.1 maintain and properly use code translation tables defined by user
Y	3.5.2 provide prompts to help users including on-screen help available for all major functions
Y*	3.5.3 create, maintain and produce audit trail identifying persons who and the location of the computers that made CCS and other entries, including the date and time entries were made, modified, edited or otherwise acted upon
Y*	3.5.4 print or display all, part or summaries of CCS's for specific case or group of cases based on criteria entered by user and for life of case or specific date range in chronological or reverse chronological order as specified by user
Y*	3.5.5 support electronic filing through Internet, through direct connection with courthouse kiosks, or through case initiation by other system such as Quest or ProsLink
Y	3.5.6 maintain file of input templates available to users to create input documents and, as necessary, associated cover sheets and relate the use of each template to other court events such as CCS entries
Y	3.5.7 maintain and print or display the history of changes in judicial officer and court assignments, including those by challenges, and showing present and former judicial officers and reasons for change
Y	3.5.8 maintain and print or display the history of attorney changes for specific case or party

### **ACS Comments to Section 3.0, Indexing**

3.0.8: This requirement can be met by the organization with the use of any ODBC-compliant report writer. The Division would be responsible for both procuring the report writer and generating the reports. Should the Division elect ACS to generate these reports, these services would be contracted separately from ACS at the then-current hourly rates. Some examples of ACS Justice Information System-supported report writers include Microsoft Access, Oracle's Discoverer Series, Crystal Reports plus many other commercially available products. Please note that this feature is available through a third-party report writer to the extent that the data element already exists in the ACS Justice Information System. It should also be noted that, at this time, ACS does not offer training on specific report writers. The Division would need to select a vendor to provide this service. ACS can provide training on extracting ACS Justice Information System data using a report writer, if desired.

3.0.9: Please see the comment for item 3.0.8.

3.0.11: Please see the comment for item 3.0.8.

3.3.4: ACS Justice may be integrated with a DMS of your choosing. If your jurisdiction does not have a stated preference, ACS can recommend DMS vendors with whose applications we have integrated in the past.

3.4.7: Please see the comment for item 3.0.8.

3.4.9: Please see the comment for item 3.3.4.

3.5.3: Please see the comment for item 3.0.8.

3.5.4: Please see the comment for item 3.0.8.

3.5.5: Electronic Filing requirements can be accomplished by ACS and CourtLink through our strategic business partnership. However, more information is required in order to provide a detailed solution approach.

## 4.0 Scheduling Function

**Table 4.1 --- Schedule Creation Sub-functions**

Y	4.1.1	schedule events and groups of events
Y	4.1.2	initiate schedule of future events based on user input or occurrence of prior events
Y	4.1.3	allow multiple cases and events to have same scheduled date and time
Y	4.1.4	schedule maximum number of cases for specific time interval by event type, including allowance of case "stacking", where several cases are scheduled for the same trial date
Y	4.1.5	schedule group of related cases as if group was a single case
Y	4.1.6	provide manual override to automatic scheduling to allow user to substitute deadlines for specific situations
Y	4.1.7	apply specific change to multiple schedules for group of cases as if group was a single case
Y	4.1.8	identify and display scheduling conflicts
Y	4.1.9	when multiple schedules change, modify records of all related parties, participants, calendars, CCS entries and other data and functions including displaying scheduling conflicts, suggesting resolutions, allowing user overrides and rescheduling only with user approval
N*	4.1.10	fully integrate with Microsoft Outlook

**Table 4.2 --- Person and Resource Assignment Sub-functions**

Y	4.2.1 maintain waiting list of cases to be scheduled for specific date, date range, judicial officer, courtroom and other entities
Y	4.2.2 considers availability of judicial officers, law enforcement, attorneys, parties, participants and court facilities, weekends, holidays and other days generally unavailable for court (to extent information is in the system) and allow manual override or scheduling
Y*	4.2.3 relate individual judicial officers and other participants to courtrooms, locations or other resources according to availability by time delimited to time blocks as small as fifteen (15) minutes or as large as one (1) year
Y	4.2.4 assign specific case categories to specific divisions of the court according to user defined parameters including those based upon the Weighted Caseload Measures
Y*	4.2.5 assign and reassign individual and groups of judicial officers using one or more of the following methods: random, according to pre-defined rules, according to specific conditions present, according to judicial officer's schedule, or through attorney selection
Y	4.2.6 assign related cases, as designated by a user, to the same judicial officer and group together on schedule
Y	4.2.7 reassign individual or group of cases from one judicial officer or calendar to another as if the group were a single case

**Table 4.3 --- Ticklers and Other User Alerts and Prompts Sub-functions**

Y*	4.3.1 provide tickler capability: identify events coming due or overdue, periods about to expire or expired and events of which user should be aware, based on statute or rules; prompt or notify users; and initiate proper functions
Y*	4.3.2 provide user-activated or -deactivated visual reinforcement to ensure user sees tickler message
Y	4.3.3 identify completed events and prompt users
Y*	4.3.4 generate report or display that lists all events due on specific date or date range sorted by date, event, or other criteria
Y*	4.3.5 prompt user to schedule predefined related cases
Y*	4.3.6 generate alerts when approaching predetermined number of events on schedule using weighted caseload, local rule, and caseload redistribution planning rules
Y	4.3.7 generate alert when displaying cases that are not public record
Y	4.3.8 generate alert when judicial officers, attorneys, parties, participants, court facilities, and other scheduling factors are unavailable
N*	4.3.9 fully integrate with task list and other personal management features of Microsoft Outlook
Y*	4.3.10 integrate with messaging system for notices and other notifications

**Table 4.4 --- Schedule and Case Management Sub-functions**

Y	4.4.1	maintain and display information on scheduled events
Y	4.4.2	print each schedule upon user request
Y*	4.4.3	create, maintain, and display or print administrative or clerk's calendar that shows all cases with action pending within specific date range, and update calendar when pending actions completed
Y	4.4.4	enter completed events noted on administrative or clerk's calendar into CCS
Y*	4.4.5	print or display attorneys who have cases with future court dates sorted by various criteria
Y*	4.4.6	print or display schedules for various persons and facilities within a specific time period
Y	4.4.7	generate CCS entry based on scheduled and completed events
Y*	4.4.8	track conformance to rules and other standards including modifications, allow some user overrides, and suspension of time counting under certain conditions
Y*	4.4.9	support differential case management and other case management methods and rules such as Weighted Caseload measures determined by Division
Y*	4.4.10	include case age with any display of case status or adherence to schedules (e.g., tracking conformance to time standards)

### **ACS Comments to Section 4.0, Scheduling Function**

- 4.1.10: ACS Justice Information Systems does not currently provide and interface to Microsoft Outlook. However, the ACS Justice Information Systems provides hundreds of reusable business objects that provide connections between the ACS Justice Information System, outside agencies and tools. ACS anticipates these connections will provide support for the interface to Microsoft Outlook.
- 4.2.3: Judicial Officers may be assigned to specific rooms and locations with an effective start date. Other courtroom personnel may be assigned to specific events scheduled for specific dates and times.
- 4.2.5: Judicial Officers may be originally assigned to a case at the time of initial entry either manually, randomly, or based on weighted caseload criteria. Other means of assignment and reassignment may require modification to the ACS Justice application. A quote for these functions can be provided after further discussions as to the exact form and function of the needed functionality.
- 4.3.1: This requirement can be met by the organization with the use of any ODBC-compliant report writer. The Division would be responsible for both procuring the report writer and generating the reports. Should the Division elect ACS to generate these reports, these services would be contracted separately from ACS at the then-current hourly rates. Some examples of ACS Justice Information System-supported report writers include Microsoft Access, Oracle's Discoverer Series, Crystal Reports plus many other commercially available products. Please note that this feature is available through a third-party report writer to the extent that the data element already exists in the ACS Justice



Information System. It should also be noted that, at this time, ACS does not offer training on specific report writers. The Division would need to select a vendor to provide this service. ACS can provide training on extracting ACS Justice Information System data using a report writer, if desired.

4.3.2: Please see the comment for item 4.3.1.

4.3.4: Please see the comment for item 4.3.1.

4.3.5: ACS Justice displays a visual indicator as to related cases from the event scheduling screen.

4.3.6: ACS Justice warns when the next scheduled event will exceed pre-determined event limits.

4.3.9: ACS Justice Information Systems does not currently provide an interface to Microsoft Outlook. However, the ACS Justice Information Systems provides hundreds of reusable business objects that provide connections between the ACS Justice Information System, outside agencies and tools. ACS anticipates these connections will provide support for the interface to Microsoft Outlook.

4.3.10: ACS Justice can produce hard-copy notices based on case activity or inactivity determined through pre-defined rules.

4.4.3: Please see the comment for item 4.3.1.

4.4.5: Please see the comment for item 4.3.1.

4.4.6: Please see the comment for item 4.3.1.

4.4.8: Please see the comment for item 4.3.1.

4.4.9: This may be managed through the establishment of docket/case history codes and related rules which define the time-sensitive activities to take place based on these codes.

4.4.10: Please see the comment for item 4.3.1.

## **5. Document Generation and Processing Function**

**Table 5.1 --- Document Generation Sub-functions**

Y*	5.1.1 generate notices or electronic acknowledgments and notify appropriate parties that filings, pleadings, and other documents are received and accepted by the court, particularly when a document is filed electronically
Y	5.1.2 generate documents triggered by a specific event
Y	5.1.3 generate miscellaneous documents
Y	5.1.4 generate special notices
Y	5.1.5 in cases with multiple active parties, generate single notice for attorney who represents multiple parties

Y	5.1.6 in cases with multiple active parties, show names and primary addresses of all other active parties and attorneys on notice to specific active party and show names and primary addresses of all active parties on file copy of notice
Y	5.1.7 print documents individually or in batches in local courts or central location
N*	5.1.8 distribute documents electronically
Y	5.1.9 track document service, return of service, proof or certificate of service, re-service if necessary, and any other events
Y	5.1.10 perform document generation, printout, and distribution sub-functions for group of cases as if group was a single case
Y	5.1.11 integrate with Microsoft Word

**Table 5.2 --- Document Utilities Sub-functions**

Y	5.2.1 in conjunction with CCS and related record keeping functions, allow users to create and maintain files of output templates and standard text, including entire paragraphs and graphics and use files to (1) create official court documents by inserting text into templates and (2) create other documents consisting of only text
Y	5.2.2 maintain electronic duplicate of document(s) or images of documents delivered electronically and relate to the court event(s), party, or activity for which they are used
Y	5.2.3 provide capability to retrieve addresses of attorneys, parties, and participants who should receive specific documents from various locations in system and database
Y*	5.2.4 produce electronic forms and other documents noted above; distribute documents and receive responses electronically

### **ACS Comments to Section 5.0, Document Generation and Processing Function**

- 5.1.1: Electronic Filing requirements can be accomplished by ACS and CourtLink through our strategic business partnership. However, more information is required in order to provide a detailed solution approach.
- 5.1.8: ACS Justice Information Systems does not currently provide and interface to Microsoft Outlook. However, the ACS Justice Information Systems provides hundreds of reusable business objects that provide connections between the ACS Justice Information System, outside agencies and tools. ACS anticipates these connections will provide support for the interface to Microsoft Outlook.
- 5.2.4: ACS provides functionality in the area of electronic forms. A modification may be required; however, more information is required in order to provide additional levels of detail.

## 6. Calendaring Function

**Table 6.1 --- Calendar Creation Sub-functions**

Y	6.1.1 create, generate, and maintain calendars based on scheduling information for each type of hearing or mixed hearings for specific periods and according to various criteria, permitting editing and modification by authorized users
Y	6.1.2 transfer easily and quickly between scheduling, calendaring, and other parts of the system when creating calendars
Y	6.1.3 create and maintain judicial officers' notes for judicial officers' viewing only in accordance with local rules and statutes

**Table 6.2 --- Calendar Management Sub-functions**

Y*	6.2.1 create and print calendars individually or batch according to various criteria including date, judicial officer, or courtroom
Y*	6.2.2 distribute calendars electronically and also broadcast to monitors located throughout courthouse and publish in real time to Internet
Y	6.2.3 generate and display or print summary of upcoming hearings for a judicial officer or in a courtroom over a specific period
Y	6.2.4 display or print summary calendar information and provide interface to other parts of system to access other types of information
Y*	6.2.5 provide full synchronization capabilities with PDA systems as well as with personal calendar programs such as those available through Microsoft Outlook

### ACS Comments to Section 6.0, Calendaring Function

- 6.2.1: This requirement can be met by the organization with the use of any ODBC-compliant report writer. The Division would be responsible for both procuring the report writer and generating the reports. Should the Division elect ACS to generate these reports, these services would be contracted separately from ACS at the then-current hourly rates. Some examples of ACS Justice Information System-supported report writers include Microsoft Access, Oracle's Discoverer Series, Crystal Reports plus many other commercially available products. Please note that this feature is available through a third-party report writer to the extent that the data element already exists in the ACS Justice Information System. It should also be noted that, at this time, ACS does not offer training on specific report writers. The Division would need to select a vendor to provide this service. ACS can provide training on extracting ACS Justice Information System data using a report writer, if desired.
- 6.2.2: Please see the comment for item 6.2.1.
- 6.2.5: ACS Justice may be synchronized with PDAs utilizing the development tools provided with the application and the PDAs.

## 7. Hearings Function

**Table 7.1 --- Hearings Sub-functions**

Y*	7.1.1 generate worksheet, calendar, or some other document suitable for on-line, rapid, in-court minute entry based on templates defined by users
Y*	7.1.2 generate and display or print worksheet, calendar, or some other document suitable for manually recording minutes
Y	7.1.3 enter, store, and display or print minutes recorded on calendar or worksheet
R*	7.1.4 provide edits and prompts with on-line minute entry capability
Y	7.1.5 enter, store, and document minute orders, including informal minute orders when there is no corresponding calendared event (e.g., ex parte matters), according to local court rules
Y	7.1.6 use events captured in minutes to update records throughout system
Y*	7.1.7 create and print court orders resulting from hearings and other judicial and ADR events
Y*	7.1.8 distribute court orders resulting from hearings and other judicial and ADR events electronically to outside parties and internally for automatic entry in CCS
Y	7.1.9 enter information in court orders and judgments resulting from hearings and other judicial and ADR events as events in CCS
Y*	7.1.10 distribute court orders resulting from hearings and other judicial and ADR events based upon party's preference (e.g., mail, facsimile, e-mail) if multiple distribution methods are available

### ACS Comments to Section 7.0, Hearings Function

- 7.1.1: In-court processing features can be accomplished through an ACS' strategic business partnership. This In-court solution does not generate worksheets, calendars, or other documents, because its sole purpose is to provide that ability online, and not generate paperwork to process manually. In addition, there are user-defined templates in the In-court solution. More information is required in order to provide a detailed solution approach.
- 7.1.2: This requirement can be met by the organization with the use of any ODBC-compliant report writer. The Division would be responsible for both procuring the report writer and generating the reports. Should the Division elect ACS to generate these reports, these services would be contracted separately from ACS at the then-current hourly rates. Some examples of ACS Justice Information System-supported report writers include Microsoft Access, Oracle's Discoverer Series, Crystal Reports plus many other commercially available products. Please note that this feature is available through a third-party report writer to the extent that the data element already exists in the ACS Justice Information System. It should also be noted that, at this time, ACS does not offer training on specific report writers. The Division would need to select a vendor to provide this service. ACS can provide training on extracting ACS Justice Information System data using a report writer, if desired.

- 7.1.4: In-court processing can be accomplished through an ACS' strategic business partnership. However, more information is required in order to provide a detailed solution approach.
- 7.17: This requirement can be accomplished through an ACS' strategic business partnership.
- 7.1.8: ACS can provide this functionality with the Oracle9iAS architecture and the InterConnect component provided in this proposal. Oracle9iAS InterConnect speeds design, deployment, and maintenance of integration solutions. Oracle9iAS InterConnect does this by providing an extensible framework and highly productive tools that enable implementers to focus on business requirements rather than the low-level technical details of the implementation. Further, Oracle9iAS InterConnect reduces cost and complexity by providing a single offering for A2A, B2B, and ASP integration requirements. Organizations can leverage the same skills to implement both internally and externally oriented integration offerings.

#### **Common View**

The common view consists of a list of such integration points, each with its own associated data. Applications participate in the integration by binding to one or more of these common view integration points.

In the context of each binding, applications have their own application view of data that needs to be exchanged. Each binding involves mapping, or transformation, between the application view and the common view in the context of the integration point. In this model, the application views are at the spokes and the common view is the hub.

#### **Hub and Spoke**

This hub-and-spoke model has the following advantages:

- Loosely coupled integration
  - Applications integrate to the common view, not with each other directly. This reduces the number of integration interfaces.
- Easy Customization
  - Changes in application views due to application upgrades are localized. The changes in the upgraded application should only be reflected through changes in its application view and mappings to the common view. In other words, only the spoke of the changed application needs to be re-mapped to the hub. The other spokes and their relationships with the hub remain unchanged.
- Easy Extensibility
  - Applications can be added or removed from the integration scenario without affecting other applications. For example, if a new application is added to the integration scenario, it must define its spoke component (the application view) and map that to the hub (common view) on a per integration point basis. This exercise does not affect other applications in the integration.
- Enhanced Reusability

This is best explained through an example. To integrate a Jail module to ACS Justice Information System, the integration would be from Jail to common view to ACS Justice Information System. If there is a requirement to integrate the Police Dept to ACS Justice Information System, then the ACS

Justice Information System to common view integration can be reused. Only the common view to the Police Dept integration needs to be built.

7.1.10: Please see the comment for item 7.1.8.

## 8. Disposition Function

**Table 8.1 --- Disposition Sub-functions**

Y	8.1.1 record disposition type (i.e., type of judgment, determination of guilty or not guilty) including those involving entire cases, individual parties, parcels in real property rights cases, and cross complaints
Y*	8.1.2 identify inactive cases and groups of cases and prompt user regarding appropriate action
Y	8.1.3 process information and produce documents for dispositions by trial, ADR such as mediation or arbitration, default, dismissal, withdrawal, settlement, transfer out to another jurisdiction, or consolidation
Y	8.1.4 process information and produce documents on post-judgment activities
Y*	8.1.5 distribute disposition and post-judgment documents noted above electronically external to court and internally to be entered in CCS
Y	8.1.6 create, print, and maintain separate judgment indices that show original and subsequent judgments by case and party
Y	8.1.7 create, display, and maintain separate disposition and judgment screens that show original and subsequent judgments for each case and party
Y	8.1.8 allow for multiple judgments in cases involving multiple parties
Y	8.1.9 update each case in group of disposed cases as if group were single case
Y	8.1.10 record date and amount of judgment including fine, sentence, restitution, etc.
Y	8.1.11 record aggregate fine or judgment and back calculate the appropriate fines and fees
Y	8.1.12 record multiple decisions, sentences, fines or fees per case or per charge
Y	8.1.13 record satisfaction of judgment as well as partial payments made pursuant to judicial order

### ACS Comments to Section 8.0, Disposition Function

8.1.2: This requirement can be met by the organization with the use of any ODBC-compliant report writer. The Division would be responsible for both procuring the report writer and generating the reports. Should the Division elect ACS to generate these reports, these services would be contracted separately from ACS at the then-current hourly rates. Some examples of ACS Justice Information System-supported report writers include Microsoft Access, Oracle's Discoverer Series, Crystal Reports

plus many other commercially available products. Please note that this feature is available through a third-party report writer to the extent that the data element already exists in the ACS Justice Information System. It should also be noted that, at this time, ACS does not offer training on specific report writers. The Division would need to select a vendor to provide this service. ACS can provide training on extracting ACS Justice Information System data using a report writer, if desired.

- 8.1.5: ACS can provide this functionality with the Oracle9iAS architecture and the InterConnect component provided in this proposal. Oracle9iAS InterConnect speeds design, deployment, and maintenance of integration solutions. Oracle9iAS InterConnect does this by providing an extensible framework and highly productive tools that enable implementers to focus on business requirements rather than the low-level technical details of the implementation. Further, Oracle9iAS InterConnect reduces cost and complexity by providing a single offering for A2A, B2B, and ASP integration requirements. Organizations can leverage the same skills to implement both internally and externally oriented integration offerings.

#### **Common View**

The common view consists of a list of such integration points, each with its own associated data. Applications participate in the integration by binding to one or more of these common view integration points.

In the context of each binding, applications have their own application view of data that needs to be exchanged. Each binding involves mapping, or transformation, between the application view and the common view in the context of the integration point. In this model, the application views are at the spokes and the common view is the hub.

#### **Hub and Spoke**

This hub-and-spoke model has the following advantages:

- Loosely coupled integration
  - Applications integrate to the common view, not with each other directly. This reduces the number of integration interfaces.
- Easy Customization
  - Changes in application views due to application upgrades are localized. The changes in the upgraded application should only be reflected through changes in its application view and mappings to the common view. In other words, only the spoke of the changed application needs to be re-mapped to the hub. The other spokes and their relationships with the hub remain unchanged.
- Easy Extensibility
  - Applications can be added or removed from the integration scenario without affecting other applications. For example, if a new application is added to the integration scenario, it must define its spoke component (the application view) and map that to the hub (common view) on a per integration point basis. This exercise does not affect other applications in the integration.
- Enhanced Reusability

This is best explained through an example. To integrate a Jail module to ACS Justice Information System, the integration would be from Jail to common view to ACS Justice Information System. If there is a requirement to integrate the Police Dept to ACS Justice Information System, then the ACS Justice Information System to common view integration can be reused. Only the common view to the Police Dept integration needs to be built.

## **9. Execution / Proceedings Supplemental Function**

**Table 9.1 --- Execution Sub-functions**

Y	9.1.1 process requests for execution of judgments and establish cross references for each execution sub-function given below to judgment index and judgment screen
Y	9.1.2 process objections to execution
Y	9.1.3 record fully, partially, and unsatisfied executions
Y	9.1.4 update each case in group of cases for which execution requested as if group was a single case
Y	9.1.5 record identifying information for general garnishee defendants and issue garnishment complaint and interrogatories, recording service of process information.
Y	9.1.6 provide printed document to be provided to garnishee defendant's financial institution containing identifying information, complaint and interrogatory information, and recording service of process information
Y*	9.1.7 maintain detailed records of payment history including records of payments and calculations of interest

### **ACS Comments to Section 9.0, Execution / Proceedings Supplemental Function**

9.1.7: Interest calculated through some means outside of ACS Justice may be entered as a separate line item financial entry. ACS Justice does not currently calculate interest within the application.

## **10. Case Close Function**

**Table 10.1 --- Case Close Sub-functions**

Y	10.1.1 receive information from Disposition Function and record reason for closure
Y	10.1.2 establish cross references between consolidated cases for CCS, scheduling, notice generation, and other functions
Y	10.1.3 close case including updating of CCS, generating required forms, notices and reports for that case)
Y*	10.1.4 generate overall case closure reports



## ACS Comments to Section 10.0, Case Close Function

10.1.4: This requirement can be met by the organization with the use of any ODBC-compliant report writer. The Division would be responsible for both procuring the report writer and generating the reports. Should the Division elect ACS to generate these reports, these services would be contracted separately from ACS at the then-current hourly rates. Some examples of ACS Justice Information System-supported report writers include Microsoft Access, Oracle's Discoverer Series, Crystal Reports plus many other commercially available products. Please note that this feature is available through a third-party report writer to the extent that the data element already exists in the ACS Justice Information System. It should also be noted that, at this time, ACS does not offer training on specific report writers. The Division would need to select a vendor to provide this service. ACS can provide training on extracting ACS Justice Information System data using a report writer, if desired.

## 11. General Accounting Function

**Table 11.1 --- General Accounting Sub-functions (case processing, financial, or both)**

Y	11.1.1	comply with generally accepted accounting principles (GAAP) for governmental entities
Y	11.1.2	provide appropriate security and authorization for all accounting functions
Y	11.1.3	allow user to override any data supplied automatically by system
Y	11.1.4	generate accounting notices (e.g., for payment) at front counter or in back office
Y	11.1.5	transfer funds from one case to another case or between accounts in a given case
Y*	11.1.6	support trust fund accounting

## ACS Comments to Section 11.0, General Accounting Function

11.1.6: Interest calculated through some means outside of ACS Justice may be entered as a separate line item financial entry. ACS Justice does not currently calculate interest within the application.

## 12. Accounting - Front Counter and Cashiering Function

**Table 12.1 --- Funds Collections Sub-functions (all case processing)**

Y	12.1.1	permit payment to be accepted for cases filed whether or not all information has been entered on CCS and recorded by entering minimal amount of data (e.g. litigant name, year, case type abbreviation and/or case number) as precursor to full CCS entry
Y*	12.1.2	accept payments by various methods including electronic funds transfer, internet payments, debit accounts, credit card, on-line check, check and cash

Y	12.1.3 compute fees based on occurrence of specific event
Y*	12.1.4 identify existence of fee waivers or deferrals, display message, process appropriately
Y	12.1.5 allocate fees associated with nonparties that may or may not be case related and process appropriately
Y	12.1.6 record fees, other moneys collected, and related information
Y	12.1.7 accept multiple types of payments in single transaction
Y	12.1.8 accept multiple payments for single case with capability to process as either single payment or separate payments
Y	12.1.9 accept single payment for multiple cases with capability to process separately for each case
Y	12.1.10 permit payments to be voided and re-entered before daily balancing with proper security provisions

**Table 12.2 --- Receipt Generation Sub-functions (all case processing)**

Y	12.2.1 generate and print receipts with proper identifiers based on collections with user option to receive single or multiple copies
Y*	12.2.2 generate and distribute electronic receipts for electronic payments
Y	12.2.3 generate and print receipts with unique, locally defined, sequential receipt numbers
Y	12.2.4 generate and print multiple receipts from one financial transaction covering multiple payments for multiple cases or purposes
Y	12.2.5 generate and print either a single receipt or multiple receipts from one financial transaction covering multiple payments for single case
Y	12.2.6 permit receipts to be reprinted with same receipt numbers

**Table 12.3 --- Bookkeeping Sub-functions (all case processing)**

Y	12.3.1 establish individual (e.g., for case or party) and combined (e.g., funds held short term by clerk) bank accounts when initial fees received for new case for subsequent use in back office
Y	12.3.2 record and maintain front-counter bookkeeping information on receipts and disbursements
Y	12.3.3 provide secure passwords for each cashier
Y	12.3.4 identify cashier with all transactions
Y	12.3.5 compute totals, list transactions, and balance for each cash drawer, register, cashier, and fee type

Y	12.3.6 list contents of each drawer
Y	12.3.7 print summary for each cashier including totals for each type of payment
Y	12.3.8 list any discrepancies among payments, receipts, and cases over specific periods for each cashier for whom above summary shows imbalance for any type of payment
Y	12.3.9 permit individual cashiers to open and close at least daily
Y	12.3.10 allow supervisor to correct payment type (e.g., cash, checks, credit card receipts, fee waivers, money orders) with proper security provisions
Y	12.3.11 suspend cashier operations multiple times during day
Y	12.3.12 permit transactions that arrive after cashier closeout to be entered as transaction for next day or with proper and secure override, as same day transaction
Y	12.3.13 print system-wide daily cash receipts journal

### **ACS Comments to Section 12.0, Accounting - Front Counter and Cashiering Function**

12.1.2: ACS Justice allows for any number of user-defined payment types. The acceptance and processing of electronic or other debit/credit card payments may require interface with a third-party application which provides for these functions.

12.1.4: The user may query the existence of fee waivers before processing payment.

12.2.2: ACS eTraffic provides a printable receipt through the web interface as payment transactions are completed.

## **13. Accounting - Back Office Function**

**Table 13.1 --- Account Management Sub-functions (case processing)**

Y	13.1.1 maintain financial parts of case files and CCS
Y*	13.1.2 debit accounts established by attorneys to cover court expenses, and credit attorney accounts based on electronic funds transfers from attorney bank accounts, debiting attorney credit card accounts, and writing on-line checks
Y	13.1.3 maintain standard tables for court costs and fees

**Table 13.2 --- Account Management Sub-functions (case processing or financial)**

Y	13.2.1 maintain and track various types of individual (e.g., case or party) and combined (e.g., funds held short term by clerk) bank accounts (e.g., interest bearing, non-interest bearing, installment, pay-through) and balances by case, due date, and party (a few accounts, such as attorney accounts and funds held short term by clerk, are case processing; most accounts, such as trusts and most escrow accounts, are financial)
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Y*	13.2.2 identify and record arrearages, generate alerts when scheduled payments not made), and take or prompt user to take appropriate action
Y*	13.2.3 send notices via e-mail or integrated messaging system

**Table 13.3 --- Account Management Sub-functions (financial)**

Y	13.3.1 track status of accounts referred to other agencies or organization
Y*	13.3.2 produce correspondence such as payment notices and dunning letters

**Table 13.4 --- Funds Transfer, Distribution, and Disbursement Sub-functions**

Y	13.4.1 record funds received from other local, state, and private units
Y	13.4.2 share information with state agencies to coordinate collection of court-ordered payments
Y	13.4.3 place hold on all disbursements
Y*	13.4.4 provide information for disbursement of undistributed or unclaimed moneys (e.g., jury fees posted for settled cases, unreturned checks for moneys paid by court), update ledgers, and produce reports
Y*	13.4.5 electronically authorize and transfer collected fees to other units
Y	13.4.6 compute parts of fees to be distributed to other local and state units according to predefined formula (e.g., portion of fees for county parks, county library, other purposes) and permit distribution formula override by appropriate authority
Y*	13.4.7 compute parts of fees to be distributed to other local and state units according to predefined formula and distribute these moneys electronically
Y*	13.4.8 produce reports showing distribution formula, moneys distributed to other local and state units over specific period, and how formula was used to compute distributions
Y	13.4.9 initiate, print, and disburse sequentially numbered checks, stop issuance on checks, void checks, identify and process outstanding checks, report on checks that have cleared, and record checks on check register
Y	13.4.10 initiate, print, and disburse refund checks individually or cumulatively over specific periods (e.g., for filing fees collected in error); record checks on check register

**Table 13.5 --- Updates to Accounts and Other Records Sub-functions**

Y	13.5.1 post case-related receipts to accounting records and CCS; associate receipts with proper case, account, or case activity
Y	13.5.2 post case-related disbursements to accounting records and CCS; associate disbursements with proper case, account, or case activity

Y*	13.5.3 display or print lists of transactions (e.g., receipts, disbursements, interest accruals listed by fee type or chronologically) for specific cases and accounts over specific periods
Y	13.5.4 record changes to accounting records that result from court orders (e.g., order for refund of jury fees) and modify appropriate records
Y*	13.5.5 post (as noted above), process (i.e., tasks noted throughout these accounting sections), and track (e.g., principal, interest, costs, attorney fees) garnishments and partial payments
Y*	13.5.6 post interest accruals to accounting records (e.g., interest accrued daily to overall account, such as for all trust accounts, and post to individual trust accounts at end of month); associate accruals with proper account
Y*	13.5.7 generate and print invoices for and document collection of all monies
Y	13.5.8 apply corrections without changing or deleting transactions, record and store adjusted financial entries (e.g., bank adjustments for errors or bad checks), and modify amounts due with proper authorization
Y	13.5.9 post non-case-related receipts to accounting records and associate receipts with proper account
Y	13.5.10 post non-case-related disbursements to accounting records and associate disbursements with proper account
Y	13.5.11 accrue charges to case based on occurrence of specific events (e.g., motion filed), periodically apply debits and costs to accounts (e.g., attorney and media accounts), and produce account statements
Y*	13.5.12 create payment schedule, apply payments received to scheduled amount due, and produce reports on overdue amounts
Y	13.5.13 Calculate and record bank deposits

**Table 13.6 --- Summaries Sub-functions**

Y*	13.6.1 for specific periods produce separate reports showing (1) cases for which fees received, no fees received, fees waived, no fees due; (2) all adjustments to accounts; (3) accounts receivable or payable for each case
Y	13.6.2 list bank deposits in various groupings (e.g., totals for cash, check, credit card) showing account in which funds to be deposited
Y*	13.6.3 print bank deposit slips for specific banks and periods
Y*	13.6.4 for specific periods, compare court record of checks with bank record of checks; produce list of discrepancies, outstanding checks, and current court and bank balances; reconcile bank accounts; produce report giving discrepancies for all reconciliation
Y*	13.6.5 produce list of items that remain open for accounts that carry balance forward from one period to next period

Y	13.6.6 produce trial balance (e.g., at end of month before posting to general ledger) and balance reports for each account over specific period
Y	13.6.7 produce pre-check register (e.g., to view checks prior to printing register) and check register over specific period
Y	13.6.8 total and reconcile receipts over specific period for multiple cashiers to calculate bank deposits
Y	13.6.9 produce summary reports for each cash drawer, cash register, and cashier
Y*	13.6.10 produce report containing information on fees waived and associated payments
Y*	13.6.11 produce report showing financial status and history (e.g., information on transactions, account balances, discrepancies) for each account
Y*	13.6.12 generate other periodic financial reports based on various criteria including at least account aging, audit trail, and journal reports
Y*	13.6.13 produce lists arranged according to user-selected criteria for any type of financial transaction

**Table 13.7 --- Accounting --- General Ledger Sub-functions**

Y	13.7.1 create and maintain system-defined and user-customized chart of accounts
Y	13.7.2 maintain journal and, if appropriate, subsidiary ledger for each account by posting debits, credits, and adjusting entries
Y	13.7.3 populate subsidiary ledger automatically using data from other parts of system
Y	13.7.4 reconcile and balance all accounts
Y	13.7.5 create general ledger by posting journal entries, subsidiary ledger totals, and other information to each account in chart of accounts

### **ACS Comments to Section 13.0, Accounting - Back Office Function**

- 13.1.2: ACS Justice allows for on-line debit accounts to be established and payments processed from these amounts. The acceptance and processing of electronic or other debit/credit card payments may require interface with a third-party application which provides for these functions.
- 13.2.2: The notification to the clerk of accounts past due may be generated through the use of a report-writing application.
- 13.2.3: ACS can provide this functionality with the Oracle9iAS architecture and the InterConnect component provided in this proposal. Oracle9iAS InterConnect speeds design, deployment, and maintenance of integration solutions. Oracle9iAS InterConnect does this by providing an extensible framework and highly productive tools that enable implementers to focus on business requirements rather than the low-level technical details of the implementation. Further, Oracle9iAS InterConnect reduces cost and complexity by providing a single offering for A2A, B2B, and ASP integration requirements.

Organizations can leverage the same skills to implement both internally and externally oriented integration offerings.

### **Common View**

The common view consists of a list of such integration points, each with its own associated data. Applications participate in the integration by binding to one or more of these common view integration points.

In the context of each binding, applications have their own application view of data that needs to be exchanged. Each binding involves mapping, or transformation, between the application view and the common view in the context of the integration point. In this model, the application views are at the spokes and the common view is the hub.

### **Hub and Spoke**

This hub-and-spoke model has the following advantages:

- Loosely coupled integration
  - Applications integrate to the common view, not with each other directly. This reduces the number of integration interfaces.
- Easy Customization
  - Changes in application views due to application upgrades are localized. The changes in the upgraded application should only be reflected through changes in its application view and mappings to the common view. In other words, only the spoke of the changed application needs to be re-mapped to the hub. The other spokes and their relationships with the hub remain unchanged.
- Easy Extensibility
  - Applications can be added or removed from the integration scenario without affecting other applications. For example, if a new application is added to the integration scenario, it must define its spoke component (the application view) and map that to the hub (common view) on a per integration point basis. This exercise does not affect other applications in the integration.
- Enhanced Reusability

This is best explained through an example. To integrate a Jail module to ACS Justice Information System, the integration would be from Jail to common view to ACS Justice Information System. If there is a requirement to integrate the Police Dept to ACS Justice Information System, then the ACS Justice Information System to common view integration can be reused. Only the common view to the Police Dept integration needs to be built.

- 13.3.2: This requirement can be met by the organization with the use of any ODBC-compliant report writer. The Division would be responsible for both procuring the report writer and generating the reports. Should the Division elect ACS to generate these reports, these services would be contracted separately from ACS at the then-current hourly rates. Some examples of ACS Justice Information System-supported report writers include Microsoft Access, Oracle's Discoverer Series, Crystal Reports plus many other commercially available products. Please note that this feature is available through a third-party report writer to the extent that the data element already exists in the ACS Justice

Information System. It should also be noted that, at this time, ACS does not offer training on specific report writers. The Division would need to select a vendor to provide this service. ACS can provide training on extracting ACS Justice Information System data using a report writer, if desired.

- 13.4.4: The reports may be produced through the use of a report-writing application.
- 13.4.5: ACS Justice may produce checks for these transfer transactions. Electronic transfer may require interface with a third-party application which provides for these functions.
- 13.4.7: ACS Justice may produce checks for these transfer transactions. Electronic transfer may require interface with a third-party application which provides for these functions.
- 13.4.8: Please see the comment for item 13.3.2.
- 13.5.3: Interest calculated through some means outside of ACS Justice may be entered as a separate line item financial entry. ACS Justice does not currently calculate interest within the application.

This requirement can be met by the organization with the use of any ODBC-compliant report writer. The Division would be responsible for both procuring the report writer and generating the reports. Should the Division elect ACS to generate these reports, these services would be contracted separately from ACS at the then-current hourly rates. Some examples of ACS Justice Information System-supported report writers include Microsoft Access, Oracle's Discoverer Series, Crystal Reports plus many other commercially available products. Please note that this feature is available through a third-party report writer to the extent that the data element already exists in the ACS Justice Information System. It should also be noted that, at this time, ACS does not offer training on specific report writers. The Division would need to select a vendor to provide this service. ACS can provide training on extracting ACS Justice Information System data using a report writer, if desired.

- 13.5.5: Interest calculated through some means outside of ACS Justice may be entered as a separate line item financial entry. ACS Justice does not currently calculate interest within the application.
- 13.5.6: Please see the comment for item 13.5.5.
- 13.5.7: Please see the comment for item 13.3.2.
- 13.5.12: The notification to the clerk of accounts past due may be generated through the use of a report-writing application.
- 13.6.1: Please see the comment for item 13.3.2.
- 13.6.3-5: Please see the comment for item 13.3.2.
- 13.6.10-13: Please see the comment for item 13.3.2.



## 14. File, Document, and Property Management Function

**Table 14.1 --- File Tracking Sub-functions**

Y	14.1.1 generate labels for manual case files
Y*	14.1.2 generate indicators (e.g., color coded labels) with information on checked-out manual files to replace those files in cabinet
Y	14.1.3 track manual case files from time checked out of clerk's office through each borrower until returned to clerk's office relative to location, borrower, date removed, reason file needed, date returned or transferred, and other data
Y	14.1.4 maintain location (e.g. storage facility, location in facility, reel number, and location on reel) for manual and electronic archived files
Y	14.1.5 maintain last location of manual and electronic destroyed files
Y	14.1.6 maintain audit trail of each case file location with information similar to that noted above for file tracking
Y	14.1.7 print barcode information on labels and other physical documents; permit scanning of barcodes to eliminate or reduce data entry

**Table 14.2 --- File Archival and Destruction Sub-functions**

Y	14.2.1 identify cases to be archived and later destroyed depending upon user established criteria which may include case types or other defining characteristics
Y*	14.2.2 identify cases to be retained permanently
Y	14.2.3 process files according to local and state rules for becoming archived, destroyed, or transferred to storage facility
Y	14.2.4 identify summary information to be retained in active or semi-active files
Y	14.2.5 generate and print reports showing archived and destroyed or transferred cases

### 14.3 Reporting and Utility

Y*	14.3.1 create/save/modify/delete report logic and pre-existing logic for data extraction and printing
Y*	14.3.2 select, sort, extract, and print all data
Y*	14.3.3 allow for data selection based on complex statements using Boolean logic including "and", "or", "if", "then", "except", "greater than", "less than", "equal to", "not equal to"
Y*	14.3.4 all data fields accessible by the report utility
Y*	14.3.5 support the creation of calculated data fields for reports including percent, mean, mode, median, addition and subtraction, and ranking or sorting by frequency

Y*	14.3.6 provide both a report format default and user-defined format of column headings and data positioning on the report
Y*	14.3.7 capable of creating ODBC-compliant files to export data
Y*	14.3.8 allow for free form output for notices and other non-tabular court documents through report generator
Y	14.3.9 provide the capability for on-demand document generation via Microsoft Word
Y*	14.3.10 all reports may be produced upon request by the users with the appropriate security restrictions
Y*	14.3.11 ability to generate mailing labels, envelopes and data mailers
Y*	14.3.12 sort reports in an order specified by the user
Y*	14.3.13 provide case information reports based upon user criteria
Y*	14.3.14 generate cross-table case information reports
Y*	14.3.15 allow for on-line access to reports
Y*	14.3.16 provide a basic audit report of various transactions/entries performed
Y*	14.3.17 create reports regarding the number of cases outstanding based on user criteria
Y*	14.3.18 prevent unauthorized users ability to produce ad hoc reports
Y*	14.3.19 generate reports on file management activities
Y	14.3.20 perform utility functions (e.g., copy information such as CCS entries and parties) from one case to another
Y*	14.3.21 provide reports in Microsoft Excel format, or in a format that is easily imported into and used by Microsoft Excel and Microsoft Access

**Table 14.4 --- Document Management Sub-functions**

Y*	14.4.1 provide for input, output, storage (including indexing or an equivalent capability), and search and retrieval of electronic and imaged documents
Y*	14.4.2 provide capability to toggle between views of several different documents
Y*	14.4.3 provide capability to interface with document management system that is separate from case processing if case management system excludes document management capabilities
Y*	14.4.4 provide capability to use same document management system for imaging if imaging is included in overall case processing
Y*	14.4.5 provide for manipulation and maintenance of electronic or imaged documents, including an audit trail and security features for images corresponding to other data in the system

**Table 14.5 --- Exhibit Management Sub-functions**

Y	14.5.1 record receipt of exhibits and other property (including party submitting, exhibit or property description, exhibit or property status such as submitted into evidence), generate tag for exhibits and other property, relate to specific case, generate receipts
Y	14.5.2 generate exhibit and property numbers or other identifiers
Y	14.5.3 track location and status of exhibits and other property
Y	14.5.4 record return or destruction of exhibits and other property
Y	14.5.5 generate notices (1) to reclaim exhibit or property when court's usage completed and (2) to inform owner that exhibit or property destroyed
Y*	14.5.6 print or display lists of exhibits and other property according to case, party, and other parameters

**ACS Comments to Section 14.0, File, Document, and Property Management Function**

14.1.2: ACS Justice produces receipts for checked-out manual files. These may be printed on colored paper and inserted in place of the manual files.

14.2.2: This may be recorded as a docket/case history entry.

14.3.1-8: This requirement can be met by the organization with the use of any ODBC-compliant report writer. The Division would be responsible for both procuring the report writer and generating the reports. Should the Division elect ACS to generate these reports, these services would be contracted separately from ACS at the then-current hourly rates. Some examples of ACS Justice Information System-supported report writers include Microsoft Access, Oracle's Discoverer Series, Crystal Reports plus many other commercially available products. Please note that this feature is available through a third-party report writer to the extent that the data element already exists in the ACS Justice Information System. It should also be noted that, at this time, ACS does not offer training on specific report writers. The Division would need to select a vendor to provide this service. ACS can provide training on extracting ACS Justice Information System data using a report writer, if desired.

14.3.10-19: Please see the comment for item 14.3.1-8.

14.3.21: Please see the comment for item 14.3.1-8.

14.4.1: ACS Justice may be integrated with a DMS of your choosing. If your jurisdiction does not have a stated preference, ACS can recommend DMS vendors with whose applications we have integrated in the past.

14.4.2: Please see the comment for item 14.4.1.

14.4.3: Please see the comment for item 14.4.1.

14.4.4: Please see the comment for item 14.4.1.

14.4.5: Please see the comment for item 14.4.1.

14.5.6: Please see the comment for item 14.3.1-8.

## 15. Security Function

**Table 15.1 --- Security Functionality**

Y	15.1.1 system administrator can define access control from the system login prompt to the court application
Y	15.1.2 user password level security
Y	15.1.3 screen level security
Y	15.1.4 group or department level security
Y	15.1.5 organization level security
Y	15.1.6 function level security (i.e. entry, update, delete, etc.)
Y	15.1.7 security levels by groups and by individuals established by court system administrator
Y	15.1.8 ability to provide on-line access across sub-system boundaries or to restrict access across sub-systems
R*	15.1.9 support for digital signatures or other electronic authentication standards
Y	15.1.10 support for security based on case type
Y	15.1.11 support for case level security
Y	15.1.12 perform user-defined edit and data validation checks such as content of each individual data field (e.g., proper format for a date) and relationship of data field to other data
Y*	15.1.13 ensure each document and its contents sent by user (e.g., attorney) matches with that same document and its contents received by court for electronically filed cases and other information received electronically to ensure that court is referencing and retrieving correct information
Y*	15.1.14 ensure electronic records cannot be modified without supervisor notification
Y	15.1.15 allow access and similar privileges based on authorizations defined, maintained, and controlled by users
Y	15.1.16 restrict local and remote access and permissible operations (i.e., view; add; change; delete; combinations of view, add, change, delete; and output) on case types, case categories, files, parts of files, and system functions from other system functions, device

Y	15.1.17 restrict local and remote access to certain cases and classifications of cases (e.g., sealed cases, mental health cases) from specific system functions, device (e.g., terminals, PCs) locations, users, and groups of users in accordance with rules, statutes, or court orders
Y	15.1.18 provide audit trails that show which users and workstation locations logged on to system during specified period, including all records in which changes or modifications were made by particular users during specified period (see 3.4.6 above)
Y	15.1.19 provide secure passwords for each user
Y	15.1.20 allow authorized user correction of individual or groups of cases when data entry error occurs
Y	15.1.21 maintain and display audit trail of file additions, modifications, and deletions (e.g., filings entered into CCS) including who made entry, when entry made, whether date entered and date filed differ
Y	15.1.22 provide for disaster recovery (e.g., reconstruct status of system and its case processing and financial functions and data such as permitting access authorization tables and cash register totals to be reconstructed)
Y*	15.1.23 permit individual records or data elements to marked and treated as confidential with accompanying restrictions on access
Y*	15.1.24 conduct routine system tests based on established procedures that alerts supervisors to unusual or abnormal system activity, which could be potential security breach (eg. a court employee who is a party in a case changing a record they are associated with)
R*	15.1.25 utilize card access, biometrics or other similar security device to eliminate passwords and authenticate users.
Y	15.1.26 capable of requiring user authentication before conducting certain, or all, transactions

### **ACS Comments to Section 15.0, Security Function**

15.1.9: The ACS Justice Information architecture includes the Oracle9i Application Server and Oracle9i database. These platforms provide support for a large number of security features including digital certificates. The Oracle9i architecture includes strong, three-tier security through proxy authentication, including credential proxy of X.509 certificates or Distinguished Names (DN), support for thick JDBC, connection pooling for application users, and Oracle's Internet Directory, an LDAP compliant directory service. This architecture provides security through all tiers of the architecture provided to the Division.

Standards based PKI support is provided through Oracle's Advanced Security option and includes support for Public Key Certificate Standard (PKCS) #12 wallets, enabling existing PKI credentials to be shared by an Oracle Wallet, thus reducing PKI deployment costs and increasing interoperability. Oracle PKI support provides integration with Oracle Wallets, Entrust Profile, and Microsoft Certificate Store enabling organizations to integrate their existing PKI infrastructures into Oracle9i.

15.1.13: Electronic Filing requirements can be accomplished by ACS and CourtLink through our strategic business partnership. However, more information is required in order to provide a detailed solution approach.

15.1.14: Please see the comment for item 15.1.13.

15.1.23: Specific data fields (e.g. address and party) may be marked as confidential and/or have additional security levels associated with the record.

15.1.24: This requirement can be met by the organization with the use of the Oracle tools.

15.1.25: Oracle9i supports a large number of third party authentication standards. The Oracle Advanced Security option supports multiple third party authentication technologies, such as Kerberos, DCE, smart cards and biometric authentication (Identix) and RADIUS. These hardware and software technologies verify a user's identity in a stronger manner than conventional passwords.

## **16. Management and Statistical Reports Function**

**Table 16.1 --- Statistics Sub-functions**

Y*	16.1.1 satisfy reporting requirements of Division of State Court Administration and other state agencies as necessary
Y*	16.1.2 verify data sent to judicial branch and state agencies using techniques such as aggregate totals
Y*	16.1.3 transfer statistical and case data to judicial branch and state agencies electronically
Y*	16.1.4 produce caseload, caseflow, and workload reports, based on Weighted Caseload Measures or by other count or list of cases
Y*	16.1.5 produce statistical reports associated with financial activities
Y*	16.1.6 incorporate data from diverse courts throughout state into uniform statewide statistics
Y*	16.1.7 interface and be fully integrated with robust report writing software customizable by user (e.g., Crystal Reports or other similar recognized report generation software)

**Table 16.2 --- Management Information Sub-functions**

Y*	16.2.1 produce reports listed below as printed reports, displays, or extracted files suitable for transfer to other systems or Internet posting
Y*	16.2.2 produce report that permits judicial officers to monitor conformance with time and other performance standards established by statute or rule

Y*	16.2.3 produce various detail and summary reports giving CCS contents for specific cases and groups of cases by case and party
Y*	16.2.4 produce various detail and summary reports giving CCS contents for specific persons and groups of persons by case and party
Y*	16.2.5 produce report that summarizes calendars sorted according to various criteria
Y*	16.2.6 produce report similar to calendar summary described above that shows whether specific cases have been disposed with cross references to calendars in which they were disposed
Y*	16.2.7 produce report identifying amounts owed and waived for each person or organization
Y*	16.2.8 list cases (all, active, inactive) for specific attorney and provide related information
Y*	16.2.9 provide audit trail reports that show (1) which users and workstation locations logged onto system during specified period and (2) file additions, modifications, and deletions including who made entry, when entry made, whether date entered and date filed differ
Y*	16.2.10 list and give supporting information on all cases with open judgments
Y*	16.2.11 list and give supporting information on all cases with open warrants
Y*	16.2.12 list all cases that have been continued over specific period according to various criteria and give supporting overall information
Y*	16.2.13 capture and track duration of trials by user-specified criteria such as courtroom, judicial officer or other judicial officer, whether jury or non-jury, and how estimated duration of trial compares with actual duration
Y*	16.2.14 produce report showing status of motions and related petitions and requests including motions waiting for hearing or under advisement
Y*	16.2.15 capture and track locally defined milestone events (e.g., initial filing, answer or response, settlement conference) for specific cases or groups of cases (e.g., case classification such as medical malpractice, judicial officer, court division), giving more flexible case flow information (e.g., elapsed time between user-specified events) than is available in standard statistical reports described in previous section
Y*	16.2.16 maintain and report on current and past judicial officer assignment (including specific cases, case types, case categories), recusal, challenges, hearing results, reassignment, disqualification with reasons where appropriate
Y*	16.2.17 produce index of executions on judgments and garnishments sorted according to various criteria



## **ACS Comments to Section 16.0, Management and Statistical Reports Function**

16.1.1-7: This requirement can be met by the organization with the use of any ODBC-compliant report writer. The Division would be responsible for both procuring the report writer and generating the reports. Should the Division elect ACS to generate these reports, these services would be contracted separately from ACS at the then-current hourly rates. Some examples of ACS Justice Information System-supported report writers include Microsoft Access, Oracle's Discoverer Series, Crystal Reports plus many other commercially available products. Please note that this feature is available through a third-party report writer to the extent that the data element already exists in the ACS Justice Information System. It should also be noted that, at this time, ACS does not offer training on specific report writers. The Division would need to select a vendor to provide this service. ACS can provide training on extracting ACS Justice Information System data using a report writer, if desired.

16.2.1-17: Please see the comment for item 16.1.1-7.